"Global Engagement: A Vision for the 21st Century Air Force." This will be our follow-on vision to Global Reach, Global Power. As a senior noncommissioned officer, you will play a vital role in shaping our enlisted force of the future.

Your leadership is essential in making sure our force is properly trained and equipped to meet the challenges that will allow us to transition to a truly integrated air and space force. Technological advances in weapon systems and information processing will occur rapidly and with great sophistication. We must continue to take our airmen to a higher plane of excellence in their skills and education.

Embedded in our effort must be the reinforcement of our core values -
Integrity First, Service Before Self, and Excellence in All We Do. They are the bedrock of who we are and what we stand for in the eyes of the American public and to our allies abroad. Together we must create a culture in our force that embraces these values in word and deed. I wish you continued success in all you endeavor.

ERIC W. BENKEN
Chief Master Sergeant of the Air Force

USAF SUPERVISORY EXAMINATION (USAFSE) STUDY GUIDE

This pamphlet implements AFI 36-2201, *Developing, Managing, and Conducting Training*, chapter 14, Military Knowledge and Testing Standard (MKTS) System. **The first promotion cycle affected by this edition is the E-8/E-9 testing cycle beginning in September 1997.** Information in this study guide is taken primarily from Air Force publications and is based on knowledge requirements from the MKTS. **It is current as of 31 December 1996. (***NOTE***: If an Air Force publication changes any information in this study guide, the governing directive takes precedence.)** This study guide contains references, abbreviations, and acronyms (attachment 1) to assist you while you read the material.

The USAFSE Study Guide and the Promotion Fitness Examination (PFE) Study Guide are the only study references required for the USAFSE. Both study guides provide the information needed by senior noncommissioned officers (SNCO) in preparing for the USAFSE. Recommendations to change, add, or delete information in AFI 36-2201, chapter 14, or this pamphlet should be sent to the Air Force Occupational Measurement Squadron (AFOMS/OMP), 1550 5th Street East, Randolph AFB TX 78150-4449, DSN 487-4075, (E-mail: pfesg@mail.omsq.af.mil). *NOTE*: DO NOT use the suggestion program (AF Form 1000) to submit corrections for printing or typographical errors.

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INTRODUCTION

This study guide, with AFPAM 36-2241, volume 1, *PFE Study Guide*, is to be used to study for the USAFSE. This study guide covers subjects carefully selected by the most senior members of the enlisted force. Its content is required knowledge for any senior NCO who wishes to become a fully effective leader and manager. Some of the information in this study guide is new or has been rewritten in response to rapid changes in our Air Force. Changes include the merging of the Military Knowledge and Testing Standard (MKTS) with the table of contents (TOC), adding page numbers along with paragraph numbers to the TOC, streamlining the paragraph numbering system to shrink redundancy, and adding a new version of Air Force Doctrine as chapter 1. We have also added space at the end of each chapter to facilitate note taking.

AIR FORCE TEST COMPROMISE POLICY

WARNING!!! Air Force policy, as prescribed in AFI 36-2605, *Air Force Military Personnel Testing System,* prohibits oral or written discussion about the specific content of Air Force personnel tests, such as promotion tests. This includes any formal or informal group study or seminars in preparation for promotion testing and the development, reproduction, distribution, or possession of a "local test," "practice test," "pretest," or any other document about the specific content of Air Force personnel

test material. Also, you are not allowed to discuss any part of your test with anyone, to include: your supervisor or reporting official, spouse, friend, or coworker. Violation of this policy is grounds for a formal investigation and is punishable under Article 92 of the UCMJ.

These policies are to protect the integrity of the personnel tests, the Weighted Airman Promotion System (WAPS), and the Senior NCO Promotion Program. The main charter of both promotion programs is to provide a competitive promotion system that is fair and equitable for all and is based on self-initiated programs of individual study and effort, merits of past performance, and potential. Refer to chapter 5 of the PFE Study Guide for more information regarding test compromise.

UNDERSTANDING THE MKTS

Please refer to the PFE Study Guide for a more detailed explanation of the MKTS System. You must have an understanding of how to use the MKTS and its purpose. The MKTS serves as a standard for developing this study guide. It specifies the subject areas and knowledge levels that senior NCOs should possess at the grades of SMSgt and CMSgt.

To use the MKTS, first study the MKTS code key where you will find the definition for each of the letter codes used. Once you understand the definitions, refer to the table of contents to locate the letter codes that correspond to all subject areas. Remember, make sure you use the correct code for the grade in which you will be testing. ALL CHAPTER MATERIAL IN THIS STUDY GUIDE IS TESTABLE, EXCEPT THE FOOTNOTES. Using the MKTS correctly will help you use your study time wisely.

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NOTES:

Chapter 1

AIR FORCE DOCTRINE

1.1. Introduction. Doctrine consists of the fundamental principles by which military forces guide their actions in support of national objectives and is the linchpin of successful military operations. Doctrine is meant to illuminate the judgment of airmen and govern the way we prepare for, plan, and conduct air and space warfare. It is based on experience and technological advances, reduces future uncertainties, and provides a common set of understandings on which airmen base their decisions. Without updated doctrine, we turn a blind eye to experience often obtained at high cost. Air Force doctrine must draw together the best of our experience, both past and present, and our insights about the future. We all must make Air Force doctrine the basis upon which aerospace power is employed. This chapter provides the basic doctrinal guidance upon which Air Force personnel must rely on as the foundation of their " trade."

"*Air Force Spoken Here*"

General Ira Eaker

1.2. Aerospace Doctrine:

1.2.1. Aerospace doctrine is a statement of officially sanctioned beliefs and warfighting principles which describe and guide the proper use of air and space forces in military operations. The Air Force promulgates and teaches this doctrine as a common frame of reference on the best way to prepare and employ air and space forces. Accordingly, aerospace doctrine drives how the Air Force organizes, trains, equips, and sustains its forces.

1.2.2. Aerospace doctrine is an accumulation of knowledge gained primarily from the study and analysis of experience. As such, doctrine reflects what has usually worked best. These experiences may include actual combat operations, as well as tests, exercises, or military operations other than war (MOOTW). In those less frequent instances where experience is lacking or difficult to acquire (for example, theater nuclear operations), doctrine may be developed through analysis of postulated actions.

1.2.3. Aerospace doctrine has grown from the need to establish common guidelines for military action. These guidelines are particularly important under the stress of combat. For example, if a subordinate is unable to communicate with the commander, but follows established doctrine, actions will normally follow the commander's recommended course of action and support the larger scheme of operation. This example describes the prescriptive nature of doctrine, but it should be

emphasized that doctrine provides a suggested course of action.

"Doctrine: Fundamental principles by which the military forces or elements thereof guide their actions in support of national objectives."

Joint Pub 1-02

1.3. Power Projection:

"The flexibility of an air force is indeed one of its dominant characteristics.... Given centralized control of air forces, this flexibility brings with it an immense power of concentration which is unequaled in any other form of warfare."

Air Marshall Sir Arthur Tedder

1.3.1. The convergence of precise, lethal technology; battle management; and command, control, communications, computers, and intelligence (C4I) capabilities have heralded a new American way of war. All of these developments indicate a transition from long conflicts of attrition and annihilation to short conflicts with low casualties. The Air Force was the first Service to recognize that the post-Cold War era called for a new look at how military power would and could be applied. This was reflected in the strategic vision of Global Reach-Global Power. The Air Force used this vision to provide the nation an economy of force capability to execute the national military strategy--primarily through the application of asymmetric force (the leveraging of aerospace power's advantages in time, mass, position, and awareness against an adversary's weaknesses). Unlike the other Services, though, the Air Force projects power and executes the national military strategy throughout a global dimension. In this global dimension, aerospace power's unique collection of strengths and capabilities make a pivotal contribution in meeting national security objectives. Aerospace power capitalizes on this by employing forces and using information to shape the battlespace, thereby containing the engagement and manipulating conditions to our advantage.

1.3.2. Aerospace power's contribution to shaping the battlespace includes collecting and exploiting the information necessary to identify threats and opportunities regarding national interests, and the preparation of the area of concern to initiate and conduct operations. Complementary to shaping the battlespace is battlespace control or establishing the degree of control necessary to employ maneuver and engage while denying the same

capability to the enemy. For example, air and space superiority along with information superiority provide commanders the freedom of operation to deploy, maneuver, and engage an opponent. Shaping and controlling the battlespace sets the essential conditions necessary for decisive maneuver which is inherent to aerospace power. Decisive maneuver is the positioning of forces to facilitate rapid transition to precision engagement and to gain favorable advantages over an adversary or event in anticipation of engagement. If necessary, precision engagement can be used for direct application of force against an adversary or for other military operations such as humanitarian and peace operations. Of course, agile combat support of the appropriate elements of the supporting infrastructure is absolutely critical to maintaining the power projection capability of global air and space forces.

1.3.3. At the height of the Cold War, the United States relied on a powerful forward deployed force structure backed up by a large reserve force stationed in the continental United States (CONUS) to deter aggression. Today, after the collapse of the Soviet Union, the substantial downsizing of American military forces, and the closing of a large portion of our overseas bases, the nation now relies more than ever on a military capable of projecting potent power over vast distances on very short notice. The strategic vision of Global Engagement provides the architecture for the Air Force's power projection capability (figure 1.1). The keystones of Global Engagement are the Air Force's core

Figure 1.1. Air Force Power Projection Capability.

competencies. This vision calls for the Air Force to field the capabilities necessary to provide: air and space superiority; precision engagement; information

superiority; rapid global mobility; global attack; and agile combat support. These core competencies are made possible by the effective integration of platforms, people, weapons, bases, logistics, and supporting infrastructure.

1.4. Aerospace Power Missions. The Air Force's basic missions are broad, fundamental activities that aerospace power performs as a result of its core competencies. These basic missions have evolved steadily since airpower's inception and are reflected in the functions the Department of Defense assigned to the Air Force. The Air Force employs aerospace power globally through these basic missions. Most air and space forces can perform multiple missions, and some can perform them in unique ways. It is these battle-proven missions that enable the Air Force to shape and control the battlespace, thereby permitting the freedom of operation for decisive maneuver and precision engagement. It is important to note that these missions can be conducted at any level of war throughout the global dimension.

1.4.1. **Counterair.** Counterair consists of operations to attain and maintain a desired degree of air superiority by the destruction or neutralization of enemy forces. Counterair's two elements of offensive counterair and defensive counterair enable friendly use of otherwise contested airspace and disables the enemy's offensive air and missile capabilities.

1.4.1.1. *Offensive Counterair (OCA).* Offensive counterair consists of operations to destroy, neutralize, disrupt, or limit enemy air and missile power as close to its source as possible and at a time and place of our choosing. OCA operations include the suppression of enemy air defense targets such as aircraft and surface-to-air missiles or local defense systems to enable freedom of action by friendly forces. OCA operations protect friendly forces and vital interests by destroying or neutralizing enemy offensive air and missile threats prior to launch. The air and missile threat may include fixed- and rotary-wing attack aircraft; reconnaissance aircraft; unmanned aerial vehicles; air-, land-, and sea-launched cruise missiles; ballistic missiles; and air-to-surface missiles. Joint force commanders (JFC) are particularly interested in engaging theater missiles before launch and normally use OCA as the primary means to do so.

1.4.1.2. *Defensive Counterair (DCA).* DCA is synonymous with air defense and consists of active and passive operations to defend friendly airspace and protect friendly forces, materiel, and infrastructure from enemy air and missile attack. It entails detection, identification, interception, and destruction of attacking enemy air and missile forces, and normally takes place over or close to friendly territory.

1.4.2. **Counterspace**. Counterspace involves those
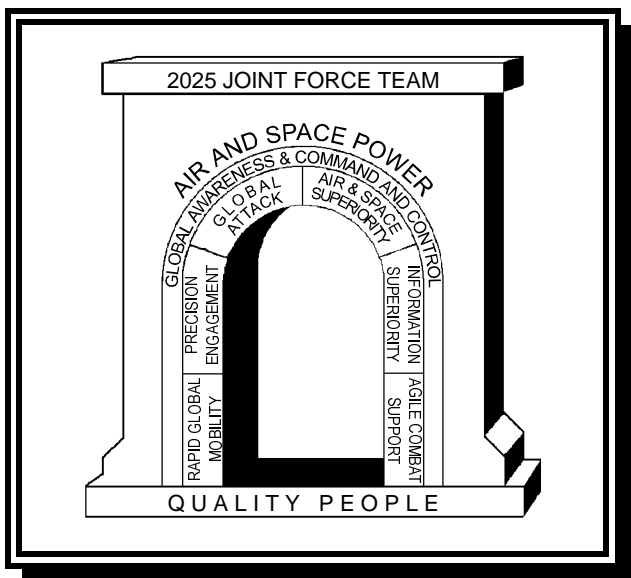
operations conducted to attain and maintain a desired degree of space superiority by the destruction or neutralization of enemy forces. The main objectives of counterspace operations are to allow friendly forces to exploit space capabilities, while negating the enemy's ability to do the same. Counterspace operations can be offensive or defensive.

1.4.2.1. ***Offensive Counterspace.*** Offensive counter-space operations destroy or neutralize an adversary's space systems or the information they provide at a time and place of our choosing through attacks on the space, terrestrial, or link elements of space systems. Offensive counterspace operations are conducted to achieve four major purposes: disruption, denial, degradation, or destruction of space assets or capabilities. These operations may include military operations such as surface-to-surface and air-to-surface attacks against space support facilities or space payloads before they are placed in orbit as well as jamming of enemy satellite uplink and downlink frequencies. Counterspace operations initiated at the onset of hostilities can result in an immediate advantage in space capabilities and result in early space control. Continued suppression of the space threat may be required in conjunction with other offensive actions underway within the commander's area of operation.

1.4.2.2. ***Defensive Counterspace.*** Defensive counter-space operations consist of active and passive counterspace defense measures. The objective of active counterspace defense measures is to detect, track, identify, intercept, and destroy or neutralize enemy space forces. The objective of passive counterspace defense is to reduce the vulnerabilities and to protect and increase the survivability of friendly space forces and the information they provide. These operations may include operations such as designing survivability features into satellites, satellite maneuver, emission control, and decoys.

1.4.3. **Strategic Attack:**

1.4.3.1. Strategic attack is an offensive operation carried out against enemy vital target sets. It is designed to achieve a maximum level of destruction and disintegration of the enemy's capacity to conduct military operations. Strategic attack allows commanders to meet our national objectives by going to the heart of an enemy's power structure without having to first deal with its military forces in detail. As an additional effect, strategic attack may produce shock that demoralizes the enemy's leadership, military forces, and population, thus affecting a leader's will and a nation's capability to continue the conflict. With that in mind, strategic attack may be carried out in support of a theater Commander in Chief (CINC) or as a stand-alone operation by direction of the National Command Authority through the Commander in Chief, Strategic Command or the Commander in Chief, Special

Operations Command.

1.4.3.2. Strategic attack is versatile and is a function of effects achieved, not forces employed. It is not limited to nuclear operations, to heavy bombers, or to total devastation of an enemy's warmaking capacity. In fact, most strategic attack actions tend to be nonnuclear conventional or special operations. The means, methods, and aim of strategic attack can be tailored to the objective or objectives being sought. Strategic attack can be a practical and potent option and can utilize a variety of weapons, tactics, or warfare to attain the desired strategic effects.

1.4.3.3. Normally, one of the key centers of gravity (COG) is the enemy's national command and control (C2) system. Striking this C2 network can cause strategic paralysis and disunity by cutting off the enemy's political and military leadership from the civilian populace and fielded force. Whether using aircraft, missiles, or information attack, the enemy's C2 should always be a target of particular focus in strategic attack.

1.4.3.4. Similarly, a nation's essential information infrastructure can be an equally key COG. Its disruption by physical attack or electronic means can quickly eradicate a nation's ability to conduct sustained, coherent activity.

1.4.3.5. Strategic attack may also be conducted against fielded forces. For example, strategic attack may be conducted against such COGs as armies or strategic offensive forces. These attacks can be conducted independently or in conjunction with friendly land and naval forces.

1.4.4. **Interdiction:**

1.4.4.1. Interdiction consists of operations to divert, disrupt, delay, or destroy the enemy's surface military potential before it can be used effectively against friendly forces. Air interdiction's ability to delay and disrupt may have a devastating impact on the enemy's plans and ability to respond to the actions of friendly forces. Interdiction attacks enemy C2 systems, personnel, materiel, logistics, and their supporting systems to weaken and disrupt the enemy's efforts and may have tactical, operational, or strategic effects. Although nontraditional in the classic sense, information warfare may also be used to conduct interdiction. For example, electronic warfare can be used to prevent further enemy incursions by disrupting command and control of advancing enemy forward deployed forces through jamming of microwave relays.

1.4.4.2. Through interdiction operations, a JFC can exploit airpower's ability to concentrate firepower quickly at any point throughout the theater to affect enemy C2

systems, personnel, and materiel. Depending on the JFC's overall campaign plan, air interdiction can have a variety of focuses, such as C2 systems, logistics, movement networks, or follow-on forces. It can also produce a variety of effects, such as destruction, blockage, channelization, or systemic inefficiencies. Surface operations can support interdiction operations by forcing the enemy to consume supplies at an accelerated rate and to move forces to meet emerging threats. These movements and supply efforts then become targets for air attacks. Interdiction can also support surface operations. For example, attacks on enemy C2 systems contribute to operations that interfere with an adversary's ability to mass, maneuver, withdraw, supply, and reinforce surface forces.

1.4.4.3. Joint force interdiction needs the direction of a single commander who can exploit and coordinate all the forces involved. The Joint Force Air Component Commander (JFACC) is the supported commander for air interdiction and uses JFC priorities to plan and execute the theaterwide interdiction effort. Joint force air forces provide air interdiction responsive across the theater, unconstrained by artificially established boundaries on the battlefield. They should be free to attack the right targets with the right munitions at the right time. Surface and air commanders need to cooperate to find the crucial targets; decide when, where, and how to attack them; and determine how surface operations and air interdiction can best complement each other to achieve the JFC's objectives.

1.4.5. **Close Air Support (CAS):**

1.4.5.1. Although CAS is the least efficient application of airpower, at times it may be the most critical to ensuring the success or survival of surface forces. Close air support consists of air operations against hostile targets in close proximity to friendly forces and which requires detailed integration of each air mission with the fire and movement of those forces. CAS provides direct support to friendly surface forces to help them carry out their assigned tasks. The firepower and mobility of aircraft can make an immediate and direct contribution to the surface battle. For example, during the Vietnam conflict in what was then considered a role reversal of almost heretical proportions, B-52 heavy bombers provided highly effective support as close as 1,000 yards from the Marines defending Khe Sanh.

1.4.5.2. Commanders can build on the tactical effects of close air support by orchestrating it with other surface and air operations to produce operational level effects. In fluid, high intensity warfare, the need for tight control, the fluidity and unpredictability of the tactical situation, the proliferation of lethal ground-based air defenses, and the consequent need to keep time over target to an absolute

minimum make close air support an especially challenging mission. In lower intensity warfare, many of these problems are lessened. There may be fewer missions suitable to airpower beyond the front. Under these conditions, CAS may yield dramatic results at a relatively low cost.

1.4.6. **Combat Search and Rescue (CSAR).** CSAR is an integral part of US combat operations and must be considered across the range of military operations. CSAR consists of air operations necessary to recover distressed personnel during wartime or contingency. It is a key element in sustaining the morale, cohesion, and fighting capability of friendly forces. It preserves critical combat resources and denies the enemy potential sources of intelligence. Although all Air Force weapon systems have the inherent capability to support CSAR operations, the USAF maintains certain forces specifically dedicated for search and rescue operations.

1.4.7. **Special Operations Employment.** Special operations employment is the use of special airpower operations (denied territory mobility, surgical firepower, and special tactics) to conduct the following joint special operations missions: unconventional warfare, direct action, special reconnaissance, counterterrorism, foreign internal defense, psychological operations, and counterproliferation. To execute special operations, Air Force Special Operations Forces (AFSOF) are normally organized and employed in small formations capable of both independent and supporting operations, with the purpose of enabling timely and tailored responses across the range of military operations.

1.4.8. **Counterinformation.** Counterinformation seeks to establish information superiority through control. Counterinformation creates an environment where friendly forces can conduct operations without suffering substantial losses while simultaneously denying the enemy the ability to conduct their operations. The focus of the effort is on countering the enemy's ability to attain information dominance. Counterinformation, like counterair and counterspace, consists of both offensive and defensive aspects.

1.4.8.1. *Offensive Counterinformation (OCI).* Offensive counterinformation are actions taken to control the information environment. The purpose of OCI is twofold: enable friendly operations to proceed, and to disable enemy information operations. OCI includes those activities designed to destroy or limit enemy information capabilities. Enabling OCI can reduce defensive threats to friendly operations. For example, corrupting data transmissions to surface-to-air missiles facilitates freedom of movement for friendly aircraft. Disrupting enemy information collection or processing is an example of disabling OCI.

1.4.8.2. *Defensive Counterinformation (DCI).* Defensive counterinformation are those actions protecting our information, information systems, and information operations from the adversary. DCI programs, such as operations security, information security, and counterintelligence assess the threat and reduce friendly vulnerabilities to an acceptable level. Improving security procedures designed to safeguard equipment and information can prohibit unintentional and unwanted release of information.

1.4.9. **Intelligence:**

1.4.9.1. Intelligence provides clear, brief, relevant, and timely analysis on foreign capabilities and intentions for planning and conducting military operations.

1.4.9.2. The overall objective of intelligence is to enable commanders and combat forces to know the enemy and operate smarter. It helps commanders across the range of military operations by collecting, analyzing, fusing, tailoring, and disseminating intelligence to the right place at the right time for key decision-making. Intelligence provides indications of enemy intentions and guides decisions on how, when, and where to engage enemy forces to achieve the commander's objectives.

1.4.9.3. Intelligence organizations integrate technical and quantitative assessments with analytical judgments based on detailed knowledge of the way the enemy thinks and operates. Intelligence personnel also must maintain an independent perspective. Commanders anticipate that even the best intelligence may not provide a complete picture, especially when the enemy is practicing deception or when the intelligence is derived from single-source sensors. Still, intelligence gives commanders the best available estimate of enemy capabilities, COGs, and courses of action.

1.4.10. **Surveillance.** Surveillance is the mission of systematically observing air, space, surface, or subsurface areas, places, persons, or things, by visual, aural, electronic, photographic, or other means. Surveillance is generally not time-sensitive. In response to the requirements of military forces, surveillance must be designed to provide warning of enemy initiatives and threats and to detect changes in enemy activities. Air- and space-based surveillance assets can exploit elevation to detect enemy initiatives at long range. This makes them essential to the security of air, space, subsurface, and surface forces.

1.4.11. **Reconnaissance.** Reconnaissance complements the surveillance mission to obtain, by visual observation or other detection methods, information about the activities and resources of an enemy or potential enemy;

or to secure data concerning the meteorological, hydrographic, or geographic characteristics of a particular area. Reconnaissance generally has a time constraint associated with the tasking. The composition of collection capabilities including airborne and space-based, manned and unmanned, and their associated support systems is tailored to provide the flexibility, responsiveness, versatility, and mobility required. Intelligence critical to the prosecution of current combat operations is evaluated and transmitted in near-real-time to those elements having a need for that information. Reconnaissance forces possess multiple and diverse capabilities. Because these capabilities are valuable across all levels of war, their specific employment at any one level should consider possible effects on other levels. Surveillance and reconnaissance must operate together, enabling commanders to preserve forces, achieve economies, and accomplish campaign objectives.

1.4.12. **Navigation and Positioning.** The mission of navigation and positioning provides accurate location and time of reference in support of strategic, operational, and tactical operations. For example, space-based systems provide the global positioning system, airborne-based systems provide air-to-surface radar, and ground-based systems provide navigation aids such as tactical aid to navigation and a very high frequency omnidirectional receiver. Navigation and positioning provide air forces accurate rendezvous for air refueling; synchronization of effort via a common timing capability; position, location, and velocity for accurate weapons delivery; ingress/egress; and search and rescue.

1.4.13. **Weather Service.** Weather service provides timely and accurate environmental information, including both space weather and atmospheric weather, to commanders for their objectives and plans at the strategic, operational, and tactical levels. Weather service gathers, analyzes, and provides meteorological data for mission planning and execution. Environmental information is integral to the decision process for employing forces and planning and conducting air-, ground-, and space-launch operations. It influences the selection of targets, routes, weapon systems, and delivery tactics.

1.4.14. **Airlift:**

1.4.14.1. Airlift is the transportation of personnel and materiel through the air. Airlift provides rapid and flexible force mobility options that allow military forces to respond to and operate in a wider variety of circumstances and time frames. A key mission of the Air Force, airlift provides global reach for US military forces and the capability to quickly apply global power to various crisis situations worldwide by delivering air and ground forces. The power projection capability that airlift supplies is vital since it provides the flexibility to get rapid reaction

forces to the point of a crisis with minimum delay. Accordingly, airlift is viewed as a foundation of US national security at the strategic level and as a crucial capability for operational commanders within a theater. Therefore, airlift is not only a vital component of US defense policy, but a critical mission executed to support overall national policy and objectives.

1.4.14.2. Air Force airlift can be classified as strategic, theater, and operational support. These classifications depend on the mission the airlift asset is performing and not on the type of airframe itself.

1.4.14.3. Strategic airlift provides the airbridge linking theaters to the CONUS and to other theaters as well as within the CONUS. Due to the intertheater ranges usually involved, strategic airlift is normally comprised of the heavy, longer range, intercontinental airlift assets, but may be augmented with shorter range aircraft when required.

1.4.14.4. Theater airlift provides the air movement of personnel and materiel within a CINC's area of responsibility. Assets designated to provide theater airlift are either assigned or attached to that geographic CINC. This classification of airlift is generally fulfilled by aircraft capable of operation under a wide range of tactical conditions including small, austere, unimproved airfield operations.

1.4.14.5. Operational support airlift consists of assets that are an integral part of a specific Service, component, or major command and are used to support the requirements of the organization to which they are assigned. It is important to note that these airlift assets are not common user assets and normally only serve in that role by exception. Operational support airlift operations provide for the timely movement of limited numbers of critical personnel and cargo for the assigned user.

1.4.15. **Spacelift:**

1.4.15.1. Spacelift projects power by delivering satellites, payloads, and materiel into or through space. During a period of increased tension or conflict, the spacelift objective is to launch or deploy new and replenishment space assets as necessary to achieve national security objectives. To satisfy this requirement, spacelift must be functional and flexible, capable of meeting the nation's full range of launch requirements, from placing small space systems in low orbits to large space systems in high, geostationary orbits. Equally important, spacelift must be timely and responsive to the user's needs. Specific launches include:

- Launch to deploy. Launch to deploy is defined as a launch required to initially achieve a satellite system's designed operational capability. In this approach,

space systems are launched on a predetermined schedule.

- Launch to sustain. These launches are accomplished to replace satellites that have failed or are predicted to fail. They may be scheduled well in advance or may require unscheduled operations.

- Launch to augment. These operations increase operational capability in response to contingency requirements, crisis, or war and will likely require unscheduled launches or payload adjustment on scheduled activity.

1.4.16. **Air Refueling.** Air refueling, along with airlift, fulfills the Air Force contribution to the joint mobility role. Air refueling is an integral part of US air operations across the range of military operations. It significantly expands the employment options available to a commander by increasing the range, payload, and flexibility of air forces. Therefore, air refueling is an essential capability in the conduct of air operations worldwide and is especially important when overseas basing is limited or not available. Air Force air refueling assets are in great demand due to their extreme usefulness to joint as well as multinational air operations. Therefore, appropriate authorities must assign priorities to competing demands and allocate the air refueling support that unified, joint, and multinational forces require. Air Force conventional air refueling assets are employed in five basic modes of operation: 1) support of the nuclear Single Integrated Operation Plan, 2) support of long-range conventional strategic attack missions, 3) deployment of air assets to a theater, 4) support of an airlift line of communication or airbridge, and 5) support of combat and combat support aircraft operating in theater.

> *"Modern war is a war for airbases; the bulldozer must accompany the plane."*

> General Hap Arnold

1.5. Aerospace Power in Military Operations Other Than War (MOOTW):

1.5.1. The challenges our Armed Forces face today are more ambiguous and regionally focused than during the cold war. These challenges can no longer be described as a single threat (the Soviet Union), but rather as multiple risks: economic and political transitions, repressive regimes, the spread of weapons of mass destruction, violent extremists, militant nationalism, ethnic and regional conflict, refugee overflows, narcotics trafficking, environmental degradation, rapid population growth, and terrorism. The military instrument of national power, either unilaterally or in combination with any of the other instruments of national power, may be called upon to meet

these challenges. Under such circumstances, MOOTW may deter war, resolve conflict, promote peace, or support civil authorities.

1.5.2. MOOTW are military actions not associated with sustained, large-scale combat operations. These actions can be applied to complement any combinations of the other instruments of national power. The overall goal of MOOTW is to pursue US national policy initiatives and to counter potential threats to US national security interests.

1.5.3. There are three general MOOTW groupings (typical combat, typical noncombat, and the group that may be either combat or noncombat) that focus on aerospace power's contribution to MOOTW. The expected threat of each operation is the distinguishing characteristic that determines if it is combat or noncombat (figure 1.2). Even though there are six types of MOOTW not typically involving combat, airmen must understand that violence (and casualties) may occur in virtually any type of operation and, therefore, must be ready and able at all times to defend themselves and their units.

1.5.4. All air and space missions are adaptable to MOOTW, but there may be limited objectives and special rules of engagement that restrict some operations. Whether aerospace power is the main force (for example, airlift in a foreign humanitarian assistance operation or counterair to enforce an air exclusion zone), an enhancing force (such as, space-based reconnaissance and surveillance), or a supporting force (such as, close air support for the Army and Marines in Somalia), it is an essential element for successful MOOTW.

Figure 1.2. Military Operations Other Than War.

Typical Combat Operations		**Typical Noncombat Operations**
Enforcement of Sanctions	Combatting Terrorism	Arms Control Support
Enforcing Exclusion Zones	Counterdrug Operations	Domestic Support Operations
Protection of Shipping	Ensuring Freedom of Navigation	Foreign Humanitarian Assistance
Strikes and Raids	Noncombatant Evacuation Operations	Nation Assistance*
	Peace Operations	Show of Force
	Recovery Operations	Support to Insurgency*

Note: The US reserves the right to use force during NCA-approved support to counter-insurgency (part of nation assistance) and during NCA-approved support to insurgency when it is in its interests to do so.

Caution: A distinct characteristic of MOOTW is the ever-existing possibility that any type of MOOTW may quickly change from noncombat to combat and vice versa. Therefore, even when a typical combat operation is planned, remember that actual force may not be needed if deterrence works, e.g., protection of shipping. Likewise, in some typical noncombat operations, some level of force may be required if the situation deteriorates. Regardless, use of appropriate self-defense measures are always authorized.

1.6. Aerospace Power in Special Operations:

1.6.1. Uniquely distinctive from normal conventional operations, Air Force special operations' objectives are to influence the accomplishment of strategic, operational, or tactical objectives through the conduct of low visibility, covert, or clandestine military actions. Air Force special operations are usually conducted in enemy-controlled or politically sensitive territories and may complement or support general purpose force operations. AFSOF are part of a joint special operations forces (SOF) team that provides combatant commanders with a synergistic capability to accomplish specialized tasks that conventional forces are unable to do.

1.6.2. Special operations differ from conventional operations in degree of physical and political risk, operational techniques, mode of employment, independence from friendly support, and dependence on detailed operational intelligence and indigenous assets. While many Air Force conventional force units possess an inherent capability to perform one or more tasks, Air Force special operations encompass a broad spectrum of activities not normally considered appropriate for conventional forces. Additionally, they take place in an operational environment for which most conventional forces are neither trained nor equipped. That setting is one often dominated by high risk and political, environmental, and operational constraints. In addition, governments often view the use of special operations forces as a means to control escalation in situations where the use of conventional forces is unwarranted or undesirable. Accordingly, theater commanders in chief (CINC) may choose to utilize SOFs, working either independently or in support of conventional forces, to operate in rear areas to exploit enemy weaknesses or collect intelligence that would not otherwise be available. However, it must be emphasized that special operations forces can also operate as a strategic force independent of theater CINCs.

1.6.3. AFSOF are also set apart from conventional forces by a different conceptual framework that underlies their training, planning, and mission execution. Air Force conventional forces seek to achieve the highest possible uniform standards of proficiency and performance. Air Force special operations training focuses on developing individual and team skills and reliance on a high degree of improvisation and independent thinking to adopt these skills to a given mission. Air Force special operations have a high political and psychological component and often require sustained independent actions in an operating environment for which conventional forces are not well prepared.

1.6.4. Theater special operations aviation assets are normally centrally controlled by a joint special operations air component commander (JSOACC). The JSOACC works very closely with the special operations liaison element, which coordinates all SOF operations with the joint force special operations component commander and the joint force air component commander.

1.7. Aerospace Power in Information Warfare:

1.7.1. Information warfare (IW) is any action to deny, exploit, corrupt, or destroy the adversary's information and its functions; protect ourselves against those actions; and exploit our own military information functions. Air and space forces can accomplish strategic, operational, or tactical IW objectives through physical or electronic attack of information systems just as information warfare can cause strategic, operational, or tactical effects in the air and space realms. However, it is the synergistic application of air, space, and information systems across the realms that provides aerospace power with its unique global strategic perspective. Methods used to achieve IW objectives in the air, space, and information realms include electronic warfare (attack or protect), psychological operations, military deception, physical attack by air and space forces, information attack by computer or electronic means, and application of various security measures.

1.7.2. Information attack directly corrupts an adversary's information without visibly altering the physical entity (that is, computer data base) in which it resides. Since the United States is more reliant on information and information functions than potential adversaries, it is vital that we devise effective security measures throughout the entire combat and support infrastructure. Security measures include physical defense and security, hardening, operations security, protection against information attack, and counterintelligence. Information warfare is a means, not an end, in precisely the same manner that air warfare is a means, not an end. The Air Force provides integrated air, space, and IW capabilities to accomplish aerospace power functions. For example, integrated air defense systems could theoretically be disabled by electronic information attack as well as destroyed by air attack missions. And, as with air and space operations, information operations must recognize the need to integrate all efforts toward achieving air component, joint, and national objectives. But IW encompasses more than just military activities; adversaries are aware of the presence and impact of civilian information systems and will attempt to use them to their advantage. From direct TV, to cellular services, to the Internet, the trend is toward a closer informed and tightly networked world.

> *"In no other profession are the penalties for employing untrained personnel so appalling or so irrevocable as in the military."*

General Douglas MacArthur

1.8. Readiness and Sustainment. While not a core competency, readiness and sustainment of air and space forces are the bedrock of these operations. Readiness is preparedness and the ability of forces to execute its mission. The Air Force ensures readiness through recruitment, training, modernization, and maintenance of forces. Sustainment is the Service's ability to maintain operations. The Air Force sustains through its research, development, test, and evaluation programs; logistics; equipment and facilities; and most importantly, people.

1.8.1. **Readiness.** Even as important as engagement and operations are, readiness actually remains the foremost priority. Air and space forces have to be adequately trained and ready before they can be employed in a military situation. Readiness efforts ensure combatant commanders obtain expertly trained, effective, and efficient air and space forces. Readiness efforts include education, training, and evaluation and assessment to improve capabilities, expand expertise, and hone skills.

1.8.1.1. *Education*. Military education is the systematic instruction of individuals and teams in subjects that will enhance their knowledge of the science and art of war and MOOTW. Education imparts necessary knowledge, understanding, perspectives, judgment, and analytical ability. It focuses on developing the ability for critical, flexible thought and innovative problem solving. It must foster an atmosphere that encourages independent thought and the intellectual approach to problems. An indispensable ingredient is the career-long study of the art, science, and nature of real war, for which the history of warfare provides the best vehicle. Military education enhances the competence of our personnel by broadening their perspectives, expanding their knowledge of military operations, developing their foreign language proficiency, and by preparing them to assume leadership positions of increasing scope and responsibility. Sound military judgment and historical experience dictate the importance of educating the forces in the way they intend to operate.

1.8.1.2. *Training*. Training is the instruction of personnel to enhance their capacity to perform specific military functions and tasks and to develop teamwork. In general, training is a continuous process of imparting education, skills, and experience, and must reflect our current doctrinal thinking. Training needs to be as realistic as possible and should be conducted for all activities across the range of military operations. Exercises must replicate to the extent possible the chaos, stress, intensity, tempo, unpredictability, and violence of military operations. Further, exercises must include " free-play" scenarios that emphasize innovative problem solving, rapidly changing situations, and degraded capabilities. Exercises that follow scripted scenarios tend to give an impression of

competence which may well mask an inability to meet the difficulties of real situations. Special attention should be given to training for joint and multinational employment. Success often depends on the synergism resulting from Air Force air and space forces working closely with forces provided by the other Services, allies, and coalition partners.

1.8.1.3. *Evaluation and Assessment.* Evaluation and assessment are methods to appraise Air Force personnel, plans, units, and systems to determine their capability, reliability, and overall performance based on objective standards and desired outcomes. Evaluation and assessment form a central part of the vital feedback on the performance and capabilities of air and space forces. Evaluation includes any method of ascertaining the performance of personnel, equipment, and systems. At the tactical level, evaluation is most concerned with the ability to carry out individual tasks. In contrast, at the strategic level evaluation concentrates on the overall ability of air forces to accomplish specific assigned functions and contribute to the overall national security of the United States. Assessment is the process by which judgment is made on the results of evaluation and an overall conclusion developed. Evaluation and assessment can be accomplished in many forms. Some of the more common methods are operational test and evaluation, modeling and simulation, quality assessment, operational readiness inspections, and personnel evaluations. Other specially tailored forms of evaluation and assessment may be appropriate to specific areas of Air Force operations. The goal of these formats, however, is the same. The focus is to monitor the performance of air and space forces with the goal of maintaining or enhancing overall capability.

1.8.2. **Sustainment.** Although the primary objective is to conduct military operations in an expeditious manner and not to sustain prolonged campaigns, it is essential to thoroughly address force support planning before execution of any operation. Sustainment includes several missions which provide the ability to create and sustain air and space force operations. Air and space forces depend upon provisions of security, consumables, engineering, maintenance, transportation, legal, medical, and other services. Since the dawn of military history, logistics capabilities have controlled the size, scope, pace, and effectiveness of military operations. The lack of sufficient combat support for air and space assets can limit or prevent operations entirely. Concurrent force support planning is a key employment campaign concern which must be thoroughly addressed before execution of any operation.

1.8.2.1. *Logistics:*

1.8.2.1.1. Logistics is the art and science of planning and executing the movement and sustainment of forces. Logistics includes the design and development,

acquisition, storage, movement, distribution, maintenance, evacuation, and disposition of materiel; the movement, evacuation, and hospitalization of personnel; the acquisition or construction, maintenance, operation, and disposition of facilities; and the acquisition or furnishing of services. Operations and logistics are inseparable facets of planning for any military operation. Concurrent planning and full integration of operational objectives and logistics considerations are necessary throughout the planning, execution, and redeployment phases of every operation. Logistics efforts place particular emphasis on the ability to surge and deploy personnel, on the ability to maintain a robust repair capability, and the ability to provide spares to support aerospace power projection.

1.8.2.1.2. At the operational and strategic level of war, logistics is of major importance to commanders because failure to manage logistics properly may lead to defeat. Commanders must consider logistics capabilities early in their operational planning and match their scheme of operations to those capabilities. Limited logistics capabilities may force commanders to phase, constrict, interrupt, delay, or even cancel operations. Interoperability is a major consideration in equipment mix and structure decisions. Effective joint and multinational operations require functional and technical interoperability among the military branches and with our allies.

1.8.2.1.3. Research, development, and acquisition should focus on providing weapon systems that support Air Force doctrine. At the same time, research and development must independently pursue other lines of potential technological advantage, and doctrine must adapt to technological breakthroughs. With this in mind, the Air Force needs to acquire the most technically advanced systems practicable, with some cautions. First, those systems must offer concrete improvements in Air Force capabilities. Second, they must be technologically appropriate for their strategic, operational, and tactical purposes. Third, technologically advanced systems need to be producible, affordable, reliable, maintainable, sustainable, and survivable. Finally, at all stages of weapon system development, the operational environment, likely threats, and possible targets must be considered. New weapon systems should incorporate as many of the characteristics of airpower--speed, range, flexibility, lethality, elevation, and precision--as feasible. Multi-mission systems increase the flexibility of air forces, providing those systems do not sacrifice important capabilities. In some cases, however, specialized, single-mission systems may provide the surest means for providing essential capabilities.

1.8.2.2. *Space Support:*

1.8.2.2.1. Space support consists of operations required to deploy and maintain equipment, personnel, and facilities in space, including launching, deploying, and employing vehicles while on orbit, and recovering vehicles if required. Space support also involves those operations conducted with the objective of sustaining, surging, and reconstituting elements or capabilities of military space systems. In addition to specific support for space forces, space operations are also crucial to providing support to the warfighter by enhancing the precision, lethality, and agility of the warfighter's forces. Satellite operations provide the means to maneuver and sustain forces in orbit. These operations are conducted through the use of a worldwide network comprised of facilities and sensors that provide telemetry, tracking, and commanding support; perform network processes; and distribute mission data. Support is divided into three categories: low-orbit vehicles which require high levels of support; medium-altitude vehicles which may require support only once every other revolution; and high-altitude vehicles which, depending on satellite requirements, need only minutes to a few hours of support each day.

1.8.2.3. *Civil Engineering:*

1.8.2.3.1. The civil engineering mission for both CONUS and forward-deployed air bases provides, operates, maintains, restores, and hardens the installations, infrastructure, facilities, housing, and environment necessary for air and space forces. Forward-deployed locations also focus on deployment planning, host-nation support arrangements, transportation sequencing, sizing and prioritizing of personnel and equipment, and coordination with other US Services and allies for passive base defense operations. A modern air operation, like any form of military operation throughout history, is impossible without the means and methods to sustain it.

1.8.2.3.2. Air base operability and defense are important because the Air Force operates from fixed air bases. Airpower is most vulnerable on the ground. Therefore, bases need to withstand aerial and ground attacks and be capable of sustaining concentrated and prolonged air activities against the enemy. Remaining operable is crucial. Engineers reduce the base's vulnerability and enhance its ability to remain operable.

1.8.2.3.3. Engineering systems must be simple, secure, redundant, and survivable. At the same time, weapon systems must be designed to simplify engineering problems. Reliability and maintainability are fundamental building blocks of engineering capability.

1.8.2.4. *Operational Sustainment:*

1.8.2.4.1. Operational sustainment is the product of intense coordination among the forces employed, the

transportation system, and the materiel repair and resupply systems. This coordination must be orchestrated by the commander responsible for employing those forces. Accelerated repair and procurement (surge) of sustainment items and whole weapon systems are often required to sustain military operations. The operational sustainment mission for both CONUS and forward-deployed air bases can entail a wide range of services: food, lodging, emergency services, legal, chaplain, medical, environmental, and security police. This sustainment effort is required across the range of military operations. Forward-deployed locations also focus on deployment planning, host-nation support arrangements, transportation sequencing, sizing and prioritizing of personnel and equipment, and coordination with other US services and allies for both passive and active base defense operations.

1.8.2.4.2. Operational sustainment for specific air forces must be controlled by the commander responsible for employing those forces.

1.8.2.4.3. Operational sustainment systems must be simple, secure, and survivable. At the same time, weapon systems themselves must be designed to simplify operational sustainment problems. Reliability and maintainability are fundamental building blocks of operational sustainment capability.

1.8.2.5. *Security Police*. Defense of air bases against ground attack has traditionally been viewed by the Air Force as a security police function. However, it is really a team effort requiring the full participation of security forces and every Air Force member. Air base defense is an integral part of airpower deployments and cannot be dependent on other services or host nation forces. Each base must have its own security force for protection of base personnel and assets and must have the full support of all assigned personnel.

1.9. Organizing USAF Forces:

1.9.1. The Air Force is at the forefront of developing and exploiting aerospace power. Other Services' air and space forces have surface support mission priorities that limit their ability to exploit the full scope of air and space operations. For example, Army and Marine aviation forces are organized and designed to give first priority to immediate and close support of ground forces. Likewise, naval aviation supports fleet operations. In contrast, only the Air Force is charged with preparing air and space forces that are organized, trained, and equipped to fully exploit air and space power's flexibility and decisiveness.

1.9.2. The Air Force must organize for wartime effectiveness rather than peacetime efficiency. This requires an organizational structure and process that is

simple, responsive, and flexible. The Air Force will also operate as a member of an interdependent team of land, naval, air, space, and special operations forces. This interdependence demands attention to joint and multinational requirements when organizing, training, and equipping the Air Force.

1.9.3. The Air Force is organized around the requirement for centralized control and decentralized execution. Organizational structures should be designed to exploit aerospace power's versatility and to make air and space forces responsive, flexible, survivable, and sustainable. The ability to use air and space forces against any level of objective, whether independently, in support of, or supported by other components, requires organizations that do not constrain employment concepts. Speed and flexibility are required if forces are to cope with the unexpected in modern, fast-paced military operations. Survivable forces must be able to sustain the operation with the proper balance of people, concepts, and equipment. Success demands air and space organizations effectively integrate personnel policies, operational and logistics concepts, and equipment requirements.

1.9.4. The Air Force consists of two components: active duty and reserves (made up of both the Air National Guard and the Air Force Reserve). Selected reserve component forces are the initial and primary sources of augmentation of the active force in any emergency requiring a rapid and substantial expansion of the active force. Reserve component forces are manned, trained, and equipped with adequate resources to deploy with or support active forces as required. This total force policy must be part of all planning, programming, manning, equipping, and employing of air and space forces.

1.9.5. The Department of the Air Force, through its major commands, organizes, trains, equips, and provides forces to combatant commands (unified commands) for employment. The organization of these major commands is based on combat, mobility, space, and special operations, plus the materiel support for these operations. The major commands are subdivided into numbered air forces, wings, groups, squadrons, and other specialized units.

1.9.6. Space forces remain assigned to the US Space Command. They are global assets; combatant commanders or their subordinates draw upon these capabilities as needed. As feasible, the space forces commander responds to combatant commanders' specific requests for support. At the same time, the space forces commander employs forces according to the understanding of how best to use those forces' capabilities to help achieve military and political objectives.

1.9.7. Joint force commanders organize their forces to

best achieve assigned objectives. Normally, they employ forces through subordinate Service component commanders or functional component commanders. Under Service component commands, commanders from each Service exercise operational control over all assigned forces from their Service. JFCs can also designate functional component commanders such as joint force land component commanders, joint force maritime component commanders, joint force special operations component commanders, and JFACCs. These commanders can be given a range of command and control authority over assigned and attached land, naval, special operations forces, or air forces, respectively, regardless of Service.

1.9.8. Current joint doctrine acknowledges the lessons of history by recommending that JFCs normally designate a JFACC to ensure the proper application of the air effort within a theater of operations. Designating a JFACC adheres to the principle of unity of command. Normally, the component commander with the preponderance of air assets and the capability to plan, task, and control joint air operations is the JFACC for theater air operations. This individual should also have comprehensive knowledge and understanding of airpower doctrine and be trained in the application of airpower to achieve strategic, operational, and tactical objectives.

NOTES:

Chapter 2

THE MILITARY DEPARTMENTS

2.1. National Strategy:

2.1.1. National strategy is defined as the art and science of developing and using the political, economic, and military powers of a nation-state to secure national objectives. This strategy is employed during both war and peace. It requires a plan which does three things: (1) sets priorities between competing courses of action (COA) which can achieve national objectives, (2) sets priorities for competing resources for each COA, and (3) accounts for predicted reactions to each COA. Ideally, competition between conflicting national and international objectives is recognized and can be resolved when a nation-state creates a national strategy. However, the US Government has been forced to choose between competing national strategic objectives and their COAs. The Falkland Islands crisis pitted US interests in Argentina against ours in the United Kingdom. Just in this decade alone, the US Government has made similar choices concerning US involvement in Somalia, the former Republic of Yugoslavia, the Middle East, and UN-sponsored peacekeeping operations. In each case, the administration considered various elements of power (both economic and military), influence, and US national interests in developing a national strategy.

2.1.2. Short of a shocking event like the attack on Pearl Harbor, democracies have always had special problems in coming up with a national strategy. Overall themes like "containment" and "detente" will be examined, but these themes are not usually considered specific enough to achieve a given objective. As a consequence, many argue that most nations, and especially democracies, seldom bring all of their elements of power together with an achievable objective and a plan for reaching it. Consequently, many scholars believe that the United States has pursued a national strategy or "grand strategy" only in time of great and prolonged conflict, such as World War II or the Cold War policy of containment after World War II.

2.1.3. Despite the difficulties that many nations have in producing a widely recognized national strategy, the idea of a national strategy remains a useful one. It provides a framework for considering various principles of national objectives and international relations so they can be coordinated with a nation's capabilities to achieve agreed upon objectives. The world situation does not wait for the formation of a broad national strategy. For instance, US involvement in Iraq, Somalia, Yugoslavia, and UN operations forces policymakers to do their best under constantly changing circumstances. Sometimes employing an existing strategy is better than trying to wait to create a new one. Events on the national or international stage could force the United States into a COA detrimental to its long-term interests.

2.2. National Security Policy:

2.2.1. National security policies are COAs governments take to implement their strategies. There are three basic forms. First there are defense policies, which are COAs nations take to prepare themselves to deter or fight wars; second are foreign policies, which are COAs nations take to conduct diplomatic and economic relations with other nations; and third are domestic policies, which are COAs for domestic economic and social sustainment and growth of the state. It is important to realize these policies are not mutually exclusive—they overlap, compete against, and support each other.

2.2.2. A nation can divide its policy goals into national interests and national objectives. National interests require the setting of priorities for completing basic goals and values if they are to be coherent. National objectives are the most specific and concrete forms of goals, yet they are the most changeable over time for different circumstances.

2.2.3. When the United States decides to decrease the number of active Air Force fighter wings, the decision is a defense policy supporting a strategy designed to achieve national objectives. When the Secretary of State is dispatched on a negotiating mission, the decision can also be a diplomatic policy decision supporting a strategy that is thought likely to achieve national objectives. National strategy, then, consists of plans a nation makes by considering interests and objectives, weighing national capabilities, and choosing options that appear useful. The diplomatic, economic, and defense actions taken to implement the selected strategy constitute national security policies.

2.2.4. The United States is a diverse nation with a large and complicated government. The United States acts in a complex and interdependent world. Governments and circumstances change, threats rise and fall, and various nonstate actors or even specific actions within the US public bring pressures to bear on policy. Sometimes out of habit, rather than through a conscious decision-making process, certain policies continue after their objectives have changed. It is a formidable job to keep policy linked to strategy and strategy linked to objectives and interests. However, strategy must remain clearly tied to policies, objectives, and interests.

2.2.5. As Americans, we are traditionally very concerned

with personal affairs, short-term national security affairs, and policy. In the normal course of events, the President and other members of the executive branch develop our national security policy with little public participation, although Congress has played an increased role in this sort of decisionmaking in recent years. However, if an encounter with a foreign power or the enforcement of an existing policy results in a crisis, the American public can and does become involved in the policy process. For example, the attack on Pearl Harbor shocked Americans and generated significant support for our entry into World War II. Conversely, we later saw US involvement in Vietnam lacked the support of the American public, which ultimately resulted in US forces being withdrawn from Southeast Asia. We have witnessed mixed public support to US involvement in operations in Somalia, UN peacekeeping missions worldwide, and direct US operations in the former Republic of Yugoslavia.

2.2.6. Basically, the US national security policy is a reflection of the will of the people. Of course, in a nation as large and diverse as the United States, the will of the people is not transformed directly into national security policy. Paragraphs 2.4 and 2.5 examine the two primary authors of national security policy—the executive and the legislative branches of our Government—and several decision-making agencies within them.

2.3. National Power:

2.3.1. Throughout this chapter, we refer to various elements of national power or national capability. A few words are in order as to what these terms mean. All nations differ as to the degree and elements of power they bring to any specific situation. While policymakers and scholars disagree over which elements of power are most important in particular situations, most would agree that at least the following six elements are critical in assessing a nation's power:

2.3.1.1. *Economic.* What is the gross domestic product? Per capita income? Industrial capacity? Level of technological development? Access to resources? To energy? Amount and type of debt and trade?

2.3.1.2. *Demographic.* How many people? Are they educated; if so, how well? Are they mobile? Willing to work? United in purpose?

2.3.1.3. *Geographic.* How much territory? Where? What climate? What is the topography? What resources? What environmental conditions? Are there natural barriers to invasion?

2.3.1.4. *Cultural.* What is the history of the nation? How do the people view themselves? What is the ethnic composition and conflict?

2.3.1.5. *Organizational.* What kind of government? How strong is it? How effective? How well is it supported by the people?

2.3.1.6. *Military.* How large are the Armed Forces? How well trained? How effective is their equipment? Are they modernizing? How are they organized? How well motivated?

2.3.2. By considering these six elements, policymakers and military planners can estimate the capability of one nation in comparison with other nations. This estimate of power forms the basis for policy recommendations and decisions. Of course, studying the elements of national capability will give only an approximate indication of power. National power will vary widely from situation to situation, and estimates of strength or capability will figure very heavily when one nation finds its interests and objectives in conflict with those of another. After carefully assessing the six elements, national decisionmakers may adjust specific strategies and policies to better respond to international challenges.

2.3.3. As we have seen, the international environment of nations conflicting and cooperating with one another, each in pursuit of its own interests, requires the successful nation to seriously tend to its own security problems. The first step in arriving at any successful national security policy is to analyze national goals carefully and realistically in terms of national interest and objectives, with each succeeding step producing a more concrete and specific goal. Once the objectives have been determined, a nation and its government can put together national policies and strategies for achieving selected objectives. The specific diplomatic, economic, and military actions called for in implementing the strategy are the nation's national security policies. The foundation for many strategy and policy decisions will be the careful consideration of the strength or national capability available to the nation in relationship to the capabilities of other nations—its power in a given situation.

2.4. The Executive Branch and National Security Policy. When the executive branch of the Federal Government is mentioned, one normally thinks first of the President of the United States. But the executive branch consists of many additional decisionmakers. It includes the Presidential staff of advisors and assistants and the cabinet-level departments (for example, the Departments of State, Defense, Treasury, Transportation, and Health and Human Services). It also includes agencies that report to the President (for example, the Central Intelligence Agency (CIA) and activities which are part of the Executive Office of the President (for example, the Office of Management and Budget and the National Security Council (NSC) staff). For our purpose of identifying who makes US national security policy, we will look closely at

the more important participants. These participants are the President, the Assistant for National Security Affairs, the NSC and the NSC staff, the State Department, the Department of Defense (DoD), and the CIA. Other agencies and departments of the executive branch also have roles in developing national security policy; we are not overlooking their roles. Rather, it is our purpose here to address those agencies which traditionally have had deep involvement in the policy process.

2.4.1. **The President:**

2.4.1.1. Who makes US national security policy? This question is usually answered, the President; and in fact, presidents often do. Some US presidents have claimed the Constitution gives them the responsibility to develop national security policy. Article II of the Constitution vests executive power in the President, including power to make treaties; appoint ambassadors, ministers, and consuls; and receive ambassadors and ministers of other nations. The Constitution also makes the President the Commander in Chief of all US military forces, which are a major component of national security policy. On the other hand, our Government's system of checks and balances is reflected in other sections of Article II (the President's power to make treaties and appoint ambassadors is subject to the advice and consent of the Senate) and in Article I (the Constitution gives Congress specific powers in this area). Thus, in today's environment, the President sets the tone for national security policy; however, the President confronts a number of limitations on his ability to implement a policy.

2.4.1.2. Presidents make policy in a variety of ways, depending on their management styles and their knowledge of foreign affairs. An executive staff, appointed and organized by the President, provides national security affairs advice to the President.

2.4.2. **The Assistant for National Security Affairs:**

2.4.2.1. An incumbent President may establish and fill the position of Assistant for National Security Affairs—a position with considerable influence. Frequently, it is the assistant's responsibility to ensure the completeness and accuracy of information the President reviews in making major decisions.

2.4.2.2. The role of the President in formulating national security policy is to set the basic tone and direction for the policy and to make the difficult decisions based on the data available. This data normally comes to the President through the Assistant for National Security Affairs; however, the President may employ other channels as well.

2.4.3. **The National Security Council (NSC):**

2.4.3.1. One of the numerous responsibilities of the President is making decisions concerning national security. Many of these decisions are under the guidance of the NSC. The National Security Act of 1947 established the NSC. Currently, the President, Vice President, Secretary of State, and the Secretary of Defense are members of the NSC. The Chairman of the Joint Chiefs of Staff (CJCS), the Director of Central Intelligence (DCI), the Director of the Arms Control and Disarmament Agency, and the Director of the US Information Agency are statutory advisors. The Assistant to the President for National Security Affairs serves as the National Security Advisor. Representatives from other departments of the Government often attend NSC sessions by invitation because of their interest in the issue under review. Through the interagency process, the NSC staff directs study efforts, investigates issues, and coordinates inputs to the President. People and organizations throughout the Government are often tasked to provide information for NSC-directed study efforts.

2.4.3.2. The main function of the NSC staff is to develop and integrate security information such as defense data, foreign political leaning, and economic impacts pertaining to a given issue. The NSC staff provides data to the President to use to make informed decisions on matters of national security. The President makes such decisions in response to a crisis, emergency, or to the need for a long-term policy.

2.4.4. **The State Department:**

2.4.4.1. The State Department conducts the foreign policy of the United States. Through embassies and consulates worldwide, the State Department discharges its important role of representing the United States and its people to foreign governments. The State Department also maintains a staff in Washington DC. The staff is organized on a geographical and functional basis. On a geographical basis, the State Department staff provides "desk" officers who handle issues pertaining to a specific country or region of the world. The staff also contains functional bureaus that deal with specific issues regardless of geographical breakdown. For example, the Bureau of Intelligence and Research analyzes issues throughout the world if these issues are the responsibility of the State Department.

2.4.4.2. The Secretary of State is traditionally the President's primary advisor on foreign affairs. Thus, the State Department plays an important role in the development of US national security policy. It is a key source of information on foreign governments, forecasting their reaction to US policy and actions. The State Department also provides information for national security decisionmaking by coordinating the direct contact between the Secretary of State and the President and then

informing the NSC staff when necessary.

2.4.5. **The Department of Defense (DoD).** The executor of national defense policy is the DoD. As such, it is appropriate the DoD has a role in the development of national security policy. The DoD includes the Secretary of Defense (SECDEF); the Office of the Secretary of Defense (OSD) with its largely civilian staff; DoD agencies; the military departments (Army, Navy, and Air Force); the military services (Army, Navy, and Air Force, and Marine Corps); and the unified commands. For the purpose of examining who makes national security policy, we will touch on the role of three elements within the DoD: the SECDEF, the OSD, and the Joint Chiefs of Staff (JCS) and Joint Staff.

2.4.5.1. *The Secretary of Defense.* The Secretary of Defense is responsible to the President for running the DoD. In this position, he or she exercises direction and control of all DoD assets. To carry out the assigned tasks, the SECDEF is supported by his or her staff, the OSD.

2.4.5.2. *The OSD.* The OSD staff consists of Under Secretaries of Defense and subordinate assistant secretaries with defined geographical and functional responsibilities. They assist the SECDEF by providing inputs on national security issues. For example, the SECDEF may be asked to recommend a weapon system or level of force to counter an enemy threat. The OSD staff, with inputs from the military services and defense agencies, will develop the recommendations. The OSD staff does not employ forces; however, it is responsible for recommending the conditions under which the United States will employ its forces.

2.4.5.3. *The JCS and Joint Staff:*

2.4.5.3.1. The JCS and Joint Staff constitute another element within the DoD. These individuals are the CJCS, the Vice Chairman of the Joint Chiefs of Staff (VCJCS), and the Service chiefs from their respective military services who serve as members of a corporate body (the JCS) and, in this capacity, require a chairperson. The CJCS is the highest ranking military officer in uniform and influences national security policy by serving as the principal military advisor to the President, NSC, and the SECDEF, as outlined in the Goldwater-Nichols DoD Reorganization Act of 1986. The Chairman and Vice Chairman are assisted by the Joint Staff which functions as a normal military staff supporting CJCS and VCJCS in their assigned duties. In policy deliberations, the JCS may be asked to advise on the employment of military forces, force size, and potential for securing the desired goal through use of military strength. The data upon which they make this advice is provided by the Services to the Joint Staff and ultimately the JCS. The CJCS provides this advice to the President through the SECDEF. Since the

CJCS is an advisor to the NSC, the JCS advice may be incorporated into an NSC recommendation outside strict DoD lines of communication. The JCS may also exercise its right of direct access to the President as granted by legislation passed in 1958. The JCS seldom uses this privilege, but the option is available. In some cases, the President will request direct contact because of the need for immediate military expertise.

2.4.5.3.2. The DoD has several ways of influencing national security policy. Normally, the OSD or Joint Staff develops a position on an issue with appropriate input from the Services. Once a consolidated DoD position (OSD plus JCS) is reached, the SECDEF, usually after consultation with the CJCS and JCS, transmits this position directly to the President or through the NSC.

2.4.6. *The Central Intelligence Agency (CIA):*

2.4.6.1. The CIA's role in the development of national security policy is to provide intelligence. This may consist of data on the economic trends in a foreign country, its agricultural successes and failures, its manufacturing capability, the mind set of the people, or the traditional information on military force size, equipment, and deployment. The CIA collects data from a variety of sources and consolidates it into intelligence estimates.

2.4.6.2. The National Security Act of 1947 established the CIA and designated the DCI to serve as the principal advisor to the NSC on intelligence matters. Several US Presidents have issued Executive orders to define the CIA's role and to place limitations on its use. For example, the CIA is prohibited from any operations inside the United States. However, the CIA has retained the capability of conducting covert operations outside the United States, as well as analyzing the data collected. The American public has generally recognized the need for the CIA while feeling a sense of discomfort with the aspect of its covert operations.

2.4.6.3. While the American public sometimes questions the need for a particular covert CIA operation, it is clear that Presidential decisions require a great deal of information about the "other person." In the realm of national security policy, the "other person" is often a foreign government. The CIA, because of its resources and ability to collect and analyze data, may be the best source of information. Typically, the CIA transmits this information to the President through the NSC. The CIA's daily briefing book gives the President most of the information he receives about the world outside the United States on any given day.

2.4.6.4. The preceding paragraphs highlight the ways in which key executive branch agencies influence the development of national security policy. While other

agencies may also have important input, most national security policy issues involve the President and his staff, the NSC, the State Department, the DoD, and the CIA.

2.5. The Legislative Branch and National Security Policy. One must recognize that inputs can also come from influences outside the executive branch which may either aid in the decision process or hinder implementation of a policy once defined. In the following paragraphs, we will look at some of the influences and limitations the legislative branch can impose on our national security policy.

2.5.1. **Constitutional and Historical Background:**

2.5.1.1. Determined to avoid any repetition of their experience under the rule of the British monarchy, the framers of the US Constitution carefully divided power among the executive, legislative, and judicial branches of Government. The exact nature of these divisions was often left vague, a situation which has contributed to a long and continuing debate over the exact role of Congress in formulating national security policy. In turn, Congress has raised the issue of the executive branch's constitutional authority to develop national security policy without consulting Congress.

2.5.1.2. The most important powers Congress has in this area is its control over the budget, power to raise and support armies, power to provide and maintain a navy, and power to provide for organizing, arming, and disciplining the militia. Congress also has the exclusive power to declare war and is authorized to make rules for the government and regulation of the land and naval forces. While these powers are shared jointly by both houses of Congress, the Senate has exclusive jurisdiction over ratification of treaties (an action which requires a two-thirds majority) and a review of Presidential appointments to high-level positions.

2.5.1.3. The line between the powers of Congress and those of the President, especially when the President is acting as Commander in Chief, is not very clear and has been the subject of a wide variety of interpretations. During the Civil War, Congress clashed with President Abraham Lincoln over both the political and military aspects of the conflict. Congress even established a special committee on the conduct of the war in an effort to further its influence in these areas. Conversely, Presidents Woodrow Wilson and Franklin Roosevelt both enjoyed much greater freedom from congressional interference over their conduct of World Wars I and II, respectively.

2.5.1.4. The conflict between the executive branch and Congress was revived during the Korean Conflict, especially after President Harry Truman's dismissal of General Douglas MacArthur. It peaked again at the end of the Vietnam Conflict. In 1973, Congress passed the War Powers Act over President Richard Nixon's veto. Unless Congress declares war, this act requires the President report to Congress within 48 hours when he sends forces into hostilities or into situations where hostilities are imminent. Furthermore, Congress can order the forces withdrawn at any time, and the President must withdraw them within 60 days unless Congress authorizes a longer period or approves a declaration of war. However, the constitutionality of a legislative veto over such executive actions is somewhat in doubt.

2.5.2. **Exercise of Congressional Influence:**

2.5.2.1. Congress plays a vital role in the development of national security policy. This is most obvious in the appropriations process. Not only does Congress make the final determination on the total size of the defense budget and other areas related to national security, but it also has the power to add, reduce, or remove appropriations for specific programs. This allows it to greatly expand its role in formulating policy. The debate over the deployment of the C-17 or B-2 was a good illustration of this power. By making appropriations for the C-17 or B-2 conditional on congressional approval of the basing mode, Congress determined specific policies usually left to the executive branch.

2.5.2.2. Another area in which Congress uses its appropriations power to gain an expanded role in making national security policy is security assistance to other nations. For example, Congress wrote an appropriations bill which compelled administrations to link amounts of assistance provided to Turkey and Greece. In another case, Congress limited the allocation of funds to certain countries until the President certified their progress on human rights. US aid to Egypt and Israel is determined by Congress which, in turn, heavily influences US policy in the Middle East.

2.5.2.3. The Senate's power to ratify treaties can also play an important role in national security policy. The debate over ratification of the Panama Canal treaties during President Jimmy Carter's administration is an excellent example. In the ratification process, the Senate insisted on amending the treaties to clarify the right of the United States to defend the canal and gain rapid passage for our naval vessels in an emergency situation. During the debate of the Strategic Arms Reduction Treaty (START), the Senate closely examined it for any oversights affecting US interests.

2.5.2.4. The Senate occasionally uses its power to ratify appointments as a means of influencing policy; however, this is more difficult than using the treaty power. Many senators are reluctant to deny a President's choice for filling a post. Approval of appointments takes a simple

majority vote, which makes it difficult to gain enough votes to block an appointment. However, the Senate uses hearings and debates on appointments to pressure the administration into making commitments to pursue or not pursue certain policies.

2.5.2.5. Although Congress has yet to use its power to order the withdrawal of American forces deployed abroad, the very existence of the War Powers Act limits any administration's freedom to use military force in support of what it considers to be national security interests. This act strengthens Congress' influence in national policy decisions. In 1983, the War Powers Act led to increased consultations with Congress over such decisions as sending the Marines to Lebanon. Before retaliatory attacks in the Persian Gulf in April 1988, the President fully briefed congressional leadership. However, such briefings often took place before the War Powers Act was passed. During Desert Storm, the President and members of his Cabinet consulted frequently with Congress and the United Nations to use military force against Iraq—remember, there was no congressional declaration of war. Today, this same trend continues. Before US involvement in Somalia, Haiti, and the former Republic of Yugoslavia, there were consultations.

2.5.2.6. In addition to these specific powers, Congress has several other means of influencing national security policy. Its committees can hold hearings on a wide range of subjects, forcing administration officials to justify policies in public by responding to policy-related questions. Individual members or groups within Congress can informally negotiate compromises and tradeoffs with an administration, agreeing to support policies in one area in return for concessions on other possibly unrelated matters.

2.5.2.7. Congress can also pass nonbinding resolutions, urging the President to pursue certain options. Although lacking the force of law, these resolutions can influence public opinion and send signals to the President of the need to moderate his position in order to gain congressional support. Finally, by passing legislation or by proposing amendments to the Constitution, Congress can place specific and binding restrictions on an administration's freedom to operate in numerous areas. This last case is extremely rare, but a proposal to limit executive powers in the area of foreign relations, known as the Bricker Amendment, did gain considerable support in the 1950's, though never enough for passage.

2.5.2.8. In summary, both the Constitution and the tradition of American history give Congress a major role in the development of national security policy. However, important legal and practical limitations on how Congress exercises this power do exist. As a result, the basic formulation of national security policy has generally been left to the executive branch. Congress is more effective in moderating, limiting, or reshaping existing policies than it is in developing policy options of its own. National security policy is most effective when a relatively harmonious, cooperative relationship can be established between the President and Congress. When political, personal, or other factors weaken the President's influence with Congress, this conflict can lead to greater congressional influence on policy; but it can also produce a degree of indecision and paralysis which makes effective policy formulation and implementation much more difficult.

2.6. The Other Services. A number of functions common to all the Services have developed from the National Security Act of 1947 and its amendments, and from the DoD Reorganization Act of 1986. Figure 2.1 describes these common functions.

2.6.1. **The US Army:**

2.6.1.1. *Background.* From its birth in 1775 until the early 1800's, the US Army's staff patterned itself after the British system—control of the small Regular Army was split between the Commanding General, who was responsible for military discipline and control of field forces, and the Secretary of War, who guided administration and support with a staff bureau system. This bureau system divided authority between the Secretary of War and the Commanding General of the Army and lacked the mechanism to develop coordinated, long-range plans. Though suited to the efficient administration of a small peacetime force, the bureau system was incapable of coping with the demands placed on the 20th century Army, a situation that became clear in the Spanish-American War (1898).

2.6.1.2. *Development in the 20th Century:*

2.6.1.2.1. In 1899, a civilian lawyer, Elihu Root, was appointed Secretary of War. At that time, he expanded the Army's missions to include pacification and administration of the island territories recently acquired from Spain. In addition, he responded to public criticism of the logistical and operational confusion that had plagued Army performance in the Spanish-American War. He undertook reform of the Army command and staff system patterned on the British system. In 1903, Congress passed legislation creating a modern US Army General Staff. The War Department General Staff corps of 44 officers, who were relieved of all other duties, was functionally organized to prepare plans for the national defense and mobilization of troops. The legislation also replaced the ranking military position, Commanding General of the Army, with a War Department Chief of Staff (CS). The CS supervised all Army forces and the staff departments that had been responsible to the Secretary of War. The

Root reforms were the beginning measures that gave the Army the basis for a unified command and staff system.

2.6.1.2.2. Today, the Army Staff is an executive component of the Department of the Army. (Figure 2.2 lists some of the major functions of the Department of the Army.) It exists to assist the Secretary of the Army and includes the following:

- Chief of Staff of the Army

- Vice Chief of Staff of the Army

- Deputy Chiefs of Staff: Personnel; Intelligence; Operations and Plans; and Logistics

- Assistant Chiefs of Staff (positions authorized but not used)

- Special Staff: Chief of Engineers; Surgeon General; Judge Advocate General; Chief of Chaplains; Chief of National Guard Bureau; and Chief of Army Reserves

2.6.2. **The US Navy:**

2.6.2.1. *Background:*

2.6.2.1.1. The Department of the Navy was established in 1798. While the naval officers served at sea, the early Navy Department was entirely in the hands of civilian appointees. Growth in size and complexity of Navy business in the first quarter of the 1800's led to creation of a Board of Naval Commissioners to give professional advice to the civilian appointees on construction, repairing, and equipping ships, and superintending shipyards. It was a bilinear arrangement because employment of forces and discipline of troops was retained by the Secretary of the Navy.

2.6.2.1.2. By 1842, the Navy Department had shifted from a predominantly personnel service, like its Army counterpart, to a predominantly materiel service deeply involved in complex and expanding technical problems. Five individual bureaus under the Secretary of the Navy were created for yards and docks; construction, equipment, and repairs; provisions and clothing; ordnance and hydrography; and medicine and surgery. The creation

of additional bureaus specifically for navigation and equipment and for recruiting (enlisted personnel matters) was the response to the weaknesses of the bureau system discovered during the Civil War. When necessary, special boards were formed to consider specific technical problems, such as strategy, inventions, and new vessels.

2.6.2.1.3. By the close of the 19th century, the size and complexity of the Service, as well as the pressing need to ensure adequate preparation for war, became too much to control by a single manager. Compounded by the intraservice experiences in the Spanish-American War, this furnished motivation for congressional and administrative change in the early 1900's.

2.6.2.2. *Development in the 20th Century:*

2.6.2.2.1. In 1909, a General Board of the Navy was established to serve as an advisory body to the Secretary of the Navy on matters of personnel, operations, materiel, and inspections. Legislation in 1915 created the Office of the Chief of Naval Operations (CNO) that was charged with the operation of the fleet and preparation and readiness of the newly created position of Commander in Chief of the US Fleet. In March 1942, the positions of Commander in Chief of the US Fleet and CNO were consolidated; once again the total direction and support of US Navy operating forces were under a single person. By the 1960's, the CNO, as military chief, had complete responsibility for operations as well as supporting logistics and administration.

2.6.2.2.2. Today, the Office of the CNO within the Department of the Navy assists the Secretary of the Navy. (Figure 2.3 lists some of the major functions of the Department of the Navy.) This office includes the following:

- Chief of Naval Operations

- Vice Chief of Naval Operations

- Deputy Chiefs of Naval Operations: Manpower and Personnel; Logistics; Plans, Policy, and Operations; and Resources, Warfare Requirements, and Assessment

Figure 2.1. Common Functions of the Military Departments.

COMMON FUNCTIONS OF
THE MILITARY DEPARTMENTS

THE MAJOR FUNCTIONS OF THE MILITARY DEPARTMENTS, UNDER
THEIR RESPECTIVE SECRETARIES, ARE TO:

- Prepare forces and establish reserves of manpower, equipment, and
  supplies for the effective prosecution of war and military operations short
  of war and plan for the expansion of peacetime components to meet the
  needs of war

- Maintain in readiness mobile reserve forces, properly organized,
  trained, and equipped for employment in emergency

- Recruit, organize, train, and equip interoperable forces for assignment to
  unified combatant commands

- Prepare and submit budgets for their respective departments

- Develop, garrison, supply, equip, and maintain bases and other
  installations and furnish administrative and logistic support for all forces
  and bases

- Assist each other in the accomplishment of their respective functions

- Directors: Naval Intelligence; Space and Electronic Warfare; Training and Doctrine; Test and Evaluation and Technology; Naval Medicine/ Surgeon General; Naval Reserve; and Religious Ministries/Chief of Chaplains

- Oceanographer of the Navy

2.6.3. The US Marine Corps:

2.6.3.1. *Background.* The Marine Corps staff had its origin in 1798 in the Act for the Establishment and Organization of the Marine Corps. For a time, the Commandant was a one-man staff; his main duty was recruiting marines for service with the fleet. As the number of recruits began to increase, however, theCommandant expanded the staff to include an adjutant to assist with mustering (the gathering of enlisted men) and training, a quartermaster to procure supplies, and a paymaster to pay the troops. An administrative staff of three to five officers carried the Marine Corps through the

19th century.

2.6.3.2. *Development in the 20th Century*:

2.6.3.2.1. The emergence of the United States as a world power after the Spanish-American War greatly expanded Marine Corps employment. As additional staff officers were assigned to aid the adjutant, quartermaster, and paymaster, their offices became known as departments. Change first occurred outside the staff departments in what came to be called the "Immediate Office of the Commandant." The initial step was taken in 1902 when an officer was assigned to headquarters as aide-de-camp to the Commandant. He formed the nucleus for staff expansion in the Office of the Commandant. The position of Chief of Staff was added in 1911 to assist the Commandant with matters of training, educating, and equipping the troops and organizing, distributing, and assembling at embarkation for expeditionary duty.

Figure 2.2. Functions of the Department of the Army.

FUNCTIONS OF THE DEPARTMENT OF THE ARMY

The Army is responsible for the preparation of land forces necessary for the effective prosecution of war and military operations short of war, and, in accordance with integrated joint mobilization plans, for the expansion of the peacetime components of the Army to meet the needs of war. The Army, within the Department of the Army, includes land combat and service forces and any organic aviation and water transport assigned.

SOME OF THE MAJOR FUNCTIONS OF THE ARMY ARE TO:

- Organize, train, and equip forces for the conduct of prompt and sustained combat operations on land--specifically, forces to defeat enemy land forces and to seize, occupy, and defend land areas

- Organize, train, equip, and provide forces for appropriate air and missile defense and space control operations

- Develop airborne doctrine, procedures, and equipment common to the Army and Marine Corps

- Organize, equip, and provide Army forces for joint amphibious, airborne, and space operations and train such forces, in accordance with joint doctrines

- Organize, equip, and provide forces for the support and conduct of special operations

- Organize, equip, and provide forces for the support and conduct of psychological operations

- Furnish forces for the occupation of territories abroad

- Perform functions relating to the management and operation of the Panama Canal and

- Conduct the authorized civil works program, including projects for improvement of navigation, flood control, beach erosion control, and other water resource developments in the United States.

A collateral function of the Army is to train forces to interdict enemy sea and air power and communications through operation on or from land.

2.6.3.2.2. Between World War I and the 1970's, the Marine Corps Headquarters staff evolved into the staff we see today. In the early years of the 20th century, there were the strong influences of the American Expeditionary

Force and the development of the Army staff. Through World War II, the headquarters staff retained a line planning staff and functionally organized staff divisions for administrative, technical, supply, and operational functions. In the 1950's, the staff was reorganized along general staff divisions, G-1 through G-4, and several technical staff divisions. The position of Chief of Staff was redefined in 1957 to assist the Commandant in his responsibilities to supervise and coordinate the headquarters staff. Even through the early 1970's, there was a composite staff arrangement with a distinction in line with the Deputy Chiefs of Staff for Manpower, Installations and Logistics, Requirements and Programs, and Plans and Operations. These new directorates replaced the general staff sections. Marine field units continued to use a combination of a functionally organized general and executive staff and a staff of technical experts.

2.6.3.2.3. The Marine Corps Headquarters is in the executive part of the Department of the Navy. Its function is to furnish professional assistance to the Secretary of the Navy, accomplish all military department support duties that deal with the Marine Corps, coordinate the action of Marine Corps organizations, prepare instructions for the execution of approved plans, and investigate and report efficiency of the Marine Corps in support of combatant commands. (Figure 2.4 lists some of the major functions of the Marine Corps.) Its current organization includes the following:

- Commandant of the Marine Corps

- Assistant Commandant of the Marine Corps

- Chief of Staff of the Marine Corps

- Assistant Chief of Staff for Command, Control, Communications, Computers and Intelligence (C4I)

- Deputy Chiefs of Staff: Aviation; Installation and Logistics; Manpower and Reserve Affairs; Plans, Policies, and Operations; and Programs and Resources

2.6.4. **The US Coast Guard:**

2.6.4.1. *Background.* The Coast Guard, the nation's oldest continuing seagoing service, was established in 1790 as a "system of cutters" in the Treasury Department. First called the Revenue Marine and later the Revenue Cutter Service, the Coast Guard was primarily a law enforcement agency responsible for collecting customs duties from ships entering United States waters, enforcing embargoes, hunting pirates, and enforcing quarantines. However, by 1797, the strength of the Treasury Departments cutters had been increased to "defend the sea coast and repel any hostility to vessels and commerce." Congressional authorization established the role of the Coast Guard in national defense.

2.6.4.2. *Development in the 20th Century.* In 1915, the US Lifesaving Service, an organization of local stations scattered along US coasts, merged with the Revenue Cutter Service to form the US Coast Guard. Thus, its traditional image, the "lifesavers" was born. During World War I, responsibilities were added for port safety and security, commercial vessel safety, icebreaking, and marine environmental protection. Joined in 1939 by the Lighthouse Service, the service assumed responsibility for establishing and maintaining aids to navigation. In 1967, the Coast Guard became part of the newly formed Department of Transportation. A comprehensive review of wartime missions was performed in 1981 by the Navy and Coast Guard Board. In a 1984 memorandum of understanding between the Secretaries of Navy and Transportation, Coast Guard area commanders were assigned as commanders of the newly formed US Maritime Defense Zones (MDZ). These commanders are responsible to the Atlantic and Pacific Fleet commanders for planning and coordinating US coastal defense, preparing operational plans, conducting exercises, and training Reserve forces. MDZs are deterrent options ensuring port safety and the initial safety of seaborne deployments.

2.6.4.3. The command and control structure of the Coast Guard is based on 10 autonomous districts and 2 maintenance and logistics commands that report to the Atlantic and Pacific area commanders. In peacetime, the Commandant of the Coast Guard reports directly to the Secretary of Transportation. On declaration of war or when directed by the President, the Coast Guard operates as a service in the US Navy. (Figure 2.5 lists some of the major functions of the Coast Guard during peacetime and wartime.)

2.6.4.4. The Commandant is assisted in the direction of policy, legislation, and administration by a functional organization headed by chiefs of offices. The command and control structure includes the following:

- Commandant of the Coast Guard

- Chief of Staff of the Coast Guard

- Chiefs of Offices: Acquisition; Chief Counsel; Civil Rights; Command, Control, and Communications; Resource Director/Comptroller; Engineering; Health Services; Marine Safety, Security, and Environmental Protection; Navigation; Operations; Personnel; and Readiness and Reserves

Figure 2.3. Functions of the Department of the Navy.

FUNCTIONS OF THE DEPARTMENT OF THE NAVY

The Department of the Navy is responsible for the preparation of the Navy and Marine Corps forces necessary for the effective prosecution of war and military operations short of war, and, under the integrated joint mobilization plans, for the expansion of the peacetime components of the Navy and Marine Corps to meet the needs of war. Within the Department of the Navy, the Navy includes naval combat and service forces and such aviation as may be organic.

SOME OF THE MAJOR FUNCTIONS OF THE NAVY AND MARINE CORPS ARE TO:

- Organize, train, and equip Navy and Marine Corps forces for the conduct of prompt and sustained combat incident to operations at sea, including operation of sea-based aircraft and land-based naval air components--specifically, forces to seek out and destroy enemy naval forces and to suppress enemy sea commerce, to gain and maintain general naval supremacy, to establish and maintain local superiority in an area of naval operations, to seize and defend advanced naval bases, and to conduct such land, air, and space operations as may be essential to the prosecution of a naval campaign

- Organize, equip, and furnish Naval forces, including naval close air support and space forces, for the conduct of joint amphibious operations

- Organize, train, equip, and provide forces for strategic nuclear warfare to support strategic deterrence

- Organize, train, equip, and provide forces for reconnaissance, antisubmarine warfare, protection of shipping, aerial refueling and minelaying, and controlled minefield operations

- Furnish the afloat forces for strategic sealift

- Furnish air support essential for naval operations

- Organize, train, equip, and provide forces for appropriate air and missile defense and space control operation, including forces required for the strategic defense of the United States, under joint doctrines

- Organize, train, equip, and furnish forces to operate sea lines of communication

- Organize, train, equip, and furnish forces for the support and conduct of special operations

- Coordinate with the Department of Transportation for the peacetime maintenance of the Coast Guard

Collateral functions of the Navy and Marine Corps are to:

- Interdict enemy land power, air power, and communications through operations at sea

- Furnish close air and naval support for land operations

- Prepare to participate in the overall air and space effort

- Establish military government pending transfer of this responsibility

Figure 2.4. Functions of the Marine Corps.

FUNCTIONS OF THE MARINE CORPS

Specific responsibilities of the Department of the Navy toward the Marine Corps include the maintenance of not less than three combat divisions and three air wings and such other land combat, aviation, and services as may be organic therein.

SOME OF THE MAJOR FUNCTIONS OF THE MARINE CORPS ARE TO:

- Organize, train, and equip to provide Fleet Marine Forces of combined arms, together with supporting air components, for the service with the fleet in the seizure or defense of advanced naval bases and for the conduct of such land operations as may be essential to the prosecution of a naval campaign

- Furnish security detachments and organizations for service on naval vessels of the Navy

- Furnish security detachments for protection of naval property at naval stations and bases

- Perform other duties as the President may direct

- Develop landing force doctrines, tactics, techniques, and equipment that are of common interest to the Army and Marine Corps

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2.7. Joint Doctrine. Joint Doctrine is defined in Joint Pub 1-02, *Department of Defense Dictionary for Military and Associated Terms*, as "fundamental principles that guide the employment of forces of two or more services in coordinated action toward a common objective." Joint doctrine standardizes terminology, relationships, responsibilities, and processes among all services in order to free commanders and their staffs to focus their efforts on solving strategic, operational, and tactical problems confronting them. Joint doctrine aids concentration of US military power by establishing methods for integrated employment of Service combat capabilities and by actively bridging the seams where these capabilities come together. Joint doctrine is authoritative, but not directive. Commanders shall exercise their best judgment in applying joint doctrine to accomplish their missions in the most effective manner. Published joint doctrine will be followed, except when, in the judgment of the commander, exceptional circumstances dictate otherwise. The lack or failure of joint doctrine contributed to US military failures in combined and joint operations. The

Goldwater-Nichols Act addressed this and other issues and made the CJCS responsible for developing doctrine for the joint employment of US Armed Forces.

2.7.1. **The Iran Hostage Rescue Attempt:**

2.7.1.1. An example of why Congress made the CJCS responsible for joint doctrine was the failed attempt to rescue Americans held hostage in Iran when militants seized the US Embassy in November 1978. The rescue attempt, ordered by President Carter, resulted in the death of eight servicemen and a loss of six aircraft.

2.7.1.2. A post-mission investigation revealed doctrinal deficiencies in both planning and command and control. Mission planners viewed the established JCS Crisis Action System as being incapable of planning, training, and executing this operation. This, in turn, caused them to use an "ad hoc" planning system. This meant existing methods for integrating and reviewing Services' forces were not fully exploited. The combatant commander in chief's (CINC) command and control was hampered by

interservice pressures to get all elements involved rather than those absolutely necessary to accomplish the

Figure 2.5. Functions of the Coast Guard.
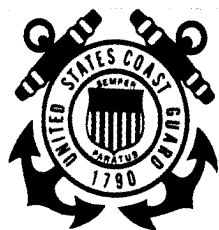
FUNCTIONS OF THE COAST GUARD

The Coast Guard is a Military Service and a branch of the Armed forces of the United States at all times. It is a service in the Department of Transportation except when operating as part of the Navy on declaration of war or when the President directs.

SOME OF THE MAJOR PEACETIME FUNCTIONS OF THE COAST GUARD ARE TO:

- Enforce or assist in enforcement of the law with power to arrest, search, and seize persons and property suspected of violations of Federal law, including drug interdiction

- Administer laws and enforce regulations for the promotion of safety of life and property on and under the high seas and waters subject to US jurisdiction

- Coordinate marine environmental protection response

- Enforce port safety and security

- Enforce commercial vessel safety standards and regulations

- Regulate and control ship movement and anchorage

- Acquire, maintain, and repair short-range aids to navigation

- Establish, operate, and maintain radio navigation

- Develop, establish, maintain, and operate polar and US icebreaking facilities

- Organize, equip, and furnish forces for maritime search and rescue

- Engage in oceanographic research

- Maintain a state of readiness to function as a specialized service in the Navy

SOME OF THE MAJOR WARTIME FUNCTIONS OF THE COAST GUARD ARE TO:

- Continue peacetime missions

- Plan and coordinate US coastal defense for the fleet commanders through assignment as commanders of US Maritime Defense Zone Atlantic and Pacific

- Perform naval wartime missions of inshore undersea warfare, mine counter-measures, harbor defense, ocean escort, etc., occurring in the US littoral sea

mission. This meant the CINC was unable to effectively synchronize his assigned forces.

2.7.2. **Desert Shield/Desert Storm.** In the years since the

Iran rescue attempt, the JCS and the Services have made great strides to remedy the lack of joint doctrine. Operations Desert Shield and Desert Storm confirmed this fact. One of the most significant lessons learned from

those operations was how forces from different branches of the US Armed Services and from several different nations could be formed into a single cohesive force under one commander. This clearly defined unity of command. Yes, there were multiple levels of command and lots of commanders, but each one knew where he or she stood in the chain of command. Unlike Iran, there were no interservice pressures to involve all armed forces. The CINC was given a mission and the forces and span of control to achieve each individual's assigned objectives. Desert Shield and Desert Storm will take their places in military history as models on how a successful joint/combined command can conduct a campaign.

2.8. Summary:

2.8.1. In summary, the Congress mandate did two things.

First, there now exists the doctrinal foundations which make jointness and interservice cooperation the norm rather than the exception. Second, CINCs now have the doctrinal basis and authority to organize and employ their forces to meet their assigned national security objectives.

2.8.2. In your career, you probably were, or will be, involved in a joint or combined operation. Desert Shield, Desert Storm, and multiservice, multinational operations like Somalia, Southern Watch, Provide Comfort, or Deny Flight, or your "normal" daily joint training exercises are but a few examples. Between the Iran hostage rescue attempt and today, the results speak for themselves. DoD has clearly demonstrated how seriously it took Congress' challenge to create joint doctrine that today's commanders and staffs can use to conduct joint operations.

NOTES:

Chapter 3

CAREER INFORMATION

3.1. Introduction. This chapter covers senior noncommissioned officer (SNCO) responsibilities, assignments, promotions, and professional military education (PME). Refer to AFPAM 36-2241, Volume 1, *Promotion Fitness Examination (PFE) Study Guide,* AFI 36-2110, *Assignments,* and AFI 36-2618*, The Enlisted Force Structure,* for a detailed explanation on general NCO responsibilities, the assignment process, the promotion system, and PME courses.

3.2. Senior NCO Responsibilities:

3.2.1. **Senior NCO Tier:**

3.2.1.1. *Chief Master Sergeant (CMSgt).* The grade of CMSgt is the highest enlisted grade in the US Air Force, with the exception of the designated special position of Chief Master Sergeant of the Air Force (CMSAF). CMSgts are superintendents and managers and provide senior enlisted leadership. As leaders, CMSgts are assigned chief enlisted manager (CEM) codes upon selection to CMSgt and may fill any managerial level position and perform all duties not prohibited by law or directive. The official term of address is chief master sergeant or chief.

3.2.1.2. *Senior Master Sergeant (SMSgt).* SMSgts perform equally as superintendents and managers. Broad management skills are essential to exercise the responsibilities of the higher leadership positions in which SMSgts serve. The 9-skill level, superintendent, is awarded upon SMSgt sew-on and graduation from the resident Air Force Senior NCO Academy (SNCOA) or other service in-resident schools. SMSgts should continue to further themselves in the total military profession to become viable candidates for unique assignment opportunities and future promotion selection consideration to the grade of CMSgt. The official term of address is senior master sergeant or sergeant.

3.2.1.3*. Master Sergeant (MSgt).* MSgts function primarily in craftsman, supervisory, and management capacities as they prepare for more advanced leadership positions. This rank carries significantly increased responsibilities and requires a broad managerial perspective. The official term of address is master sergeant or sergeant.

3.2.2. **Formal Civilian Education.** Senior NCOs should seek a well-rounded formal education as an integral part of preparing for increased responsibilities. Educational programs are valuable to improve NCOs and to help enhance their Air Force value. Senior NCOs should complete, to the maximum extent possible, those degree programs offered through the Community College of the Air Force (CCAF) or other voluntary military-sponsored educational programs. Senior NCOs must understand and properly counsel individuals on their responsibilities for upgrade training while pursuing off duty education.

3.2.3. **Role and Use:**

3.2.3.1. Senior NCOs are assigned only those duties commensurate with their skill level and rank. Their primary leadership duties are superintendent, supervisor, or manager of a flight, function, or activity. They should be used as chief of a flight, section, or branch, as superintendent of a division or unit, or, in special circumstances, as a detachment chief or commandant. Every consideration should be given to avoid over-supervision created by establishing unnecessary supervisory or managerial levels. Proper use of senior NCOs is necessary to allow them to exercise leadership and manage resources under their control.

3.2.3.2. Senior NCOs are responsible for developing personnel under their supervision into a cohesive team. These teams must be capable of meeting any challenge and effectively accomplishing mission requirements. They must use the Career Field Education and Training Plan (CFETP) to ensure the personnel they supervise are technically trained and qualified and scheduled to attend appropriate PME courses to acquire leadership and managerial skills. Senior NCOs must demonstrate sincerity and genuine concern in allowing subordinates to participate in self-improvement efforts. They must also ensure the technical skills and professional development acquired by their subordinates are used to the fullest.

3.2.3.3. Senior NCOs must be alert to detect adverse morale trends and provide feedback to commanders, immediate supervisors, officers, and staff chiefs. They must devote total effort in resolving the causes of any problem before it becomes a major issue.

3.2.3.4. Senior NCOs must establish and maintain rapport and communication with subordinates to remain attuned to their needs. By personal example and leadership, they encourage and motivate both on and off duty involvement in unit, base, and community activities.

3.2.3.5. Senior NCOs must ensure enlisted members are treated fairly by all on and off duty agencies and activities. They must also ensure that those agencies and responsible personnel are informed whenever such principles are violated and uncorrected deficiencies are reported to

appropriate officials.

3.2.3.6. The senior NCO must take the lead in achieving, maintaining, and enforcing Air Force standards, as well as good order and discipline (AFPD 36-29, *Military Standards).*

3.3. CMSgt Assignments. CMSgt (including selectee) assignments are managed by Headquarters, Air Force Personnel Center (HQ AFPC) Chiefs' Group. CMSgts are assigned to valid authorizations commensurate with their grade, training, experience, and education. If necessary, CMSgts may be allowed to perform duties outside their primary specialty. *NOTE:* Future references to CMSgts include CMSgt selectees.

3.4. SMSgt and CMSgt Promotions. Promotion to SMSgt and CMSgt has always been extremely competitive. By public law, only 3 percent of the total enlisted force is authorized in the top two grades, not to exceed 1 percent for the grade of CMSgt. Relatively few people can be promoted, and competition for the limited quota is tough. Many superior NCOs will not make the two highest enlisted grades. The information in this section explains how the senior NCO promotion program works and presents some helpful information.

3.4.1. **Promotion Criteria:**

3.4.1.1. Table 3.1 shows how to compute the time in current grade and total active Federal Military Service (TAFMS) cutoff scores. AFPAM 36-2241, volume 1, table 5.2, shows the minimum eligibility requirements for promotion to SMSgt and CMSgt. Additionally, withdrawal of an approved retirement or a permanent change of station (PCS) declination statement does not make a member eligible for promotion consideration unless HQ AFPC approves the withdrawal before the promotion eligibility cutoff date (PECD).

3.4.1.2. The PECD is used to determine the content of selection folders and information on promotion briefs. The number of enlisted performance reports (EPR) and airman performance reports (APR) contained in the senior NCO selection folder (SMSgt and CMSgt promotions only) is limited to those reports closing out 10 years immediately preceding the PECD, but only the last 5 years (maximum of 10 EPRs) are used to compute the EPR weighted factor score. Approved decorations, resubmissions, or decorations being upgraded must be submitted and included in the selection folder before the selection board convenes. The data shown on the senior NCO promotion brief includes the member's name, social security number, grade, date of rank, Air Force specialty information, service dates to include projected retirement date, academic education level, decorations, and duty

information.

3.4.2. **The Evaluation Board.** The evaluation board is very important because it can account for over half of your total score. Understanding how the board is selected, some of the areas it considers, and how the evaluation process works may give you some insight into what it will take to get promoted. As you read through this section, do a self-inventory of the questions and see how you measure up. If you are lacking in any of the areas, now is the time to start taking action. Do not wait and get caught short.

3.4.2.1. *Selection of Board Members.* The number and career field backgrounds of the board members are determined by the number of eligible personnel identified by major command and Air Force specialty code. Board members are divided into panels, each consisting of one colonel and two CMSgts. The board president is always a general officer. The board is briefed on the objective of its task, eligible population profile, and selection folder content and is then sworn to complete its task without prejudice or partiality.

3.4.2.2. *Areas the Board Considers.* You are probably most interested in the attributes your evaluation board considers in recommending or not recommending you for promotion. The list includes your performance, education, breadth of experience, level or degree of responsibility, professional competence, specific achievements, and leadership. The common denominator here is that you have control over them all, and you, not the board, are responsible for your promotion.

3.4.2.2.1. *Performance.* As we explained earlier, the evaluation board is provided with all of your EPRs and APRs for the 10 years immediately preceding the PECD. The board members will consider all aspects of the EPR and APR: job descriptions, individual rating factors, periods of supervision, overall evaluations, levels of endorsements, and each narrative word picture. If you are a strong performer, your EPRs and APRs should convey to the board that you have demonstrated the highest qualities required of a leader and manager.

3.4.2.2.2. *Education.* The board members look at your academic education level as well. The Air Force wants its enlisted leaders to have at least a high school education. Of course, some college credits or a degree from a civilian institution or the CCAF would be helpful, particularly if the degree enhances your ability to do your job.

3.4.2.2.3. *Breadth of Experience.* This factor refers to

R U L E	A	B
Table 3.1. Calculating Points and Factors for SMSgt and CMSgt Promotions.		
	If the factor is	**then the maximum score is**
1	USAF Supervisory Exam	100 pts. Base individual score on percentage correct (two decimal places). (note 1)
2	TIS	25 pts. Credit one-twelfth point for each month of TAFMS, up to 25 years, computed as of the last day of the cycle. (note 1)
3	TIG	60 pts. Credit one-half point for each month in current grade, based on DOR, up to 10 years, computed as of the first day of the last month of the cycle. (note 1)
4	Decorations	25 pts. Assign each decoration a point value based on its order of precedence. (note 2) Medal of Honor 15 AF/Navy/Distinguished Service Crosses 11 Defense Distinguished Service Medal, Distinguished Service Medal, Silver Star 9 Legion of Merit, Defense Superior Service Medal, Distinguished Flying Cross 7 Airman's/Soldier's/Navy-Marine Corps/Coast Guard/Bronze Star/Defense Meritorious Service Medals/Purple Hearts 5 Air/Aerial Achievement/AF Commendation/Army Commendation/Navy Commendation/Joint Services Commendation/Coast Guard Commendation Medals 3 Navy Achievement/Coast Guard Achievement/AF Achievement/Joint Service Achievement Medals 1

5	EPR	135 pts. Multiply each EPR rating that closed out within 5 years immediately preceding the PECD, not to exceed 10 reports, by the time-weighted factor for that specific report. The time-weighted factor begins with 50 for the most recent report and decreases in increments of five (50-45-40-35-30-25-20-15-10-5) for each report on file. Multiply that product by the EPR conversion factor of 27. Repeat this step for each report. After calculating each report, add the total value of each report for a sum. Divide that sum by the sum of the time-weighted factors added together for the promotion performance factor (126.60). (notes 1 and 3)
		
		Example: EPR string (most recent to oldest): 5B-4B-5B-5B-5B-4B
		
		5 x 50 = 250 x 27 = 6,750
		4 x 45 = 180 x 27 = 4,860
		5 x 40 = 200 x 27 = 5,400 28,485 ÷ 225= 126.60
		5 x 35 = 175 x 27 = 4,725
		5 x 30 = 150 x 27 = 4,050
		4 x 25 = 100 x 27 = 2,700
		
		   ‾‾‾ ‾‾‾‾‾
		   225 28,485

NOTES:

1. Cut off scores after the second decimal place. Do not use the third decimal place to round up or down.

2. The decoration closeout date must be on or before the PECD. The "prepared" date of the DECOR 6 recommendation for decoration printout (RDP) must be before the date AFPC made the selections for promotion. Fully document resubmitted decorations (downgraded, lost, etc.) and verify they were placed into official channels before the selection date.

3. Do not count nonevaluated periods of performance (e.g., break in service, report removed through appeal process, etc.) in the computation. For example, compute an EPR string of 4B, XB, 5B, 4B the same as 4B, 5B, 4B EPR string.

your overall professional background, experience, and knowledge gained. Some items the board members will consider include knowledge and practical experience in areas other than your current specialty. If you have remained in the same career field, the board members will be interested to know if you have had wide exposure across your career field. The members also consider your potential to fill other types of jobs and your supervisory and managerial experience.

3.4.2.2.4. *Level or Degree of Responsibility.* This factor does not refer entirely to the command level of your job, although command-level experience is a consideration. There are many jobs at base level that demand just as much of an individual as jobs at higher command levels. Consideration is given primarily to what you have been asked to accomplish and how well you have done it. Are you, or have you been, in a job that requires significant decisions, or is it a type of job in which you routinely carry out your responsibilities on the basis of someone else's decisions? Have you proven to be an effective manager in a superintendent position where there is responsibility for directing the work of others, or are you responsible only for your own performance? The desired answers to these questions should be obvious.

3.4.2.2.5. *Professional Competence.* What do rating and endorsing officials say about your expertise? Are you truly outstanding? How much do you know about your job, and how well do you accomplish it?

3.4.2.2.6. *Specific Achievements.* These are often recognized in the form of awards and decorations; however, there are many other significant accomplishments often addressed within the narrative comments of the performance reports. Such recognition, either in the form of decorations or narrative comments, can help board members identify the truly outstanding performer.

3.4.2.2.7. *Leadership.* Board members must use their judgment, expertise, and maturity when reviewing records to assess a senior NCO's potential to be a leader. In particular, the board members are seeking information about how people react to you. What have your rating officials said about your leadership qualities and leadership potential? What haven't they said?

3.4.2.3. *The Evaluation Process:*

3.4.2.3.1. *Trial Run.* Before beginning the actual scoring process, board members are given a selected set of 12 to 15 records to score from one AFSC. Using the whole person concept, they are asked to score the records using secret ballots and assign a score from 6 to 10 using half-point increments. This process assists the board members in establishing a scoring standard which they can apply consistently throughout the board process.

3.4.2.3.2. *Scoring.* After the trial run has been completed and discussed, panels begin the actual scoring of records by AFSC or CEM. All eligibles competing in an AFSC or CEM are evaluated by the same panel. Each panel member scores each record using a 6- to 10-point scale using half-point increments. Thus, an individual's record may receive a composite score by the panel (three members) from a minimum of 18 (6-6-6) to a maximum of 30 (10-10-10) points. The composite score (18-30 points)

is later multiplied by a factor of 15 which results in the total board score (270-450).

3.4.2.3.3. *Postboard Processing.* After the board is finished, the weighted factor scores are combined with the board scores. This completely computer-run operation builds an order of merit listing by total score within each AFSC or CEM, and the overall promotion quota is then applied to each AFSC or CEM. After the selection results are approved, the data is transmitted to the military personnel flight (MPF). Any questions regarding the SMSgt and CMSgt promotion selection process should be directed to your MPF career enhancement element.

3.5. Senior NCO PME. Senior NCOs enhance their leadership and management capabilities through attendance at the Air Force SNCOA. Each year, HQ AFPC identifies those CMSgt selectees, SMSgts, SMSgt selectees. and a certain number of MSgts to attend the SNCOA. Graduation from the SNCOA in residence is a prerequisite to assume the grade of CMSgt. Due to unique career and promotion policies, Air Force Reserve and Air National Guard members may satisfy their promotion requirements through resident attendance or correspondence courses.

3.5.1. Purpose:

3.5.1.1. Simply consider two sources if you are interested in understanding the intent of providing PME to Air Force senior NCOs: first, the mission statement of the Air Force SNCOA; and second, basic common sense about self-improvement. The point is, no matter how much you think you know about leadership, there is always room for improvement.

3.5.1.2. The Air Force SNCOA, located at Maxwell AFB, Gunter Annex, in Montgomery, Alabama, draws its breath from its mission statement: *"...to expand the leadership capabilities of senior enlisted leaders and reinforce a commitment to the profession of arms through a dedicated and professional team."*

3.5.1.3. When you closely examine chapter 7 of this publication on leadership, you will surely ask, "Where do I learn how to do all these additional things besides the mission? And how will I find the time to concentrate on developing supervisors who will eventually take my place in the scheme of things?"

3.5.1.4. While it is true that much of what we learn in the way of self-development is learned on the job by watching other leaders, the Air Force has provided us with more formal tools of self-improvement. Air Force leaders believe there should be a place of higher learning where senior enlisted members can discuss leadership and management practices and techniques with educated and motivated instructors and can engage in meaningful

interaction and share ideas with seasoned and experienced peers.

3.5.2. **In-Residence PME:**

3.5.2.1. *Educational Institutions.* The Air Force SNCOA is the only one of its kind. Its educational program benefits because it is part of the College for Enlisted Professional Military Education and operates under the Air University educational system. This system also includes the Air War College, Air Command and Staff College, the College for Aerospace Doctrine Research and Education, Squadron Officer School, the Ira Eaker College for Professional Development, and several other Air Force professional development schools. Together, these institutions offer a vast amount of resources and information to the Air Force Senior NCO Academy. Attendance at the Air Force SNCOA provides selected members with both the tools of tried-and-true leadership practices and the benefits of sharing experiences with peers in other military services: Air Force, Army, Navy, and Coast Guard.

3.5.2.2. *Curriculum.* As indicated earlier in this chapter, the mission statement drives the program of education at the Air Force SNCOA. To better prepare you to assume even more responsibility than you already have, the specific curriculum areas encompass the skills and techniques you need the most, not only for your day-to-day obvious tasks, but also for your not-so-obvious challenges of helping subordinates develop their professional qualities as the leaders of the future. The resident program consists of these areas: core curriculum in leadership studies and management practices, communication skills, and profession of arms topics in enlisted heritage and joint operations; a concentrated studies program in subjects such as computer literacy, Air Force specialty (AFS) field-related problem solving, continuous improvement methods and techniques, and wellness; and finally, the Commandant's option program of collateral curriculum, which is taught by speakers of opportunity such as former prisoners of war.

3.6. Summary. To develop your capability to accept increased responsibilities in the leadership and management arena and to expand your perspective on the military profession of arms, you should become involved in senior NCO PME. The curriculum presented is rewarding and challenging and will help you to broaden your focus in the work center.

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Chapter 4

PROTOCOL FOR SPECIAL EVENTS

4.1. Introduction. By definition, protocol is a code prescribing strict adherence to correct etiquette and precedence. This code is the mode of behavior that directs the conduct of Air Force personnel during personal, national, and international affairs. Protocol has been developed and modified gradually through the centuries and varies sometimes in different locales. Units, bases, and major commands (MAJCOM) often modify protocol procedures to meet their own special needs and desires. Though only guidelines, the information in this chapter will help you avoid some of the pitfalls you may encounter.

4.2. Distinguished Visits:

4.2.1. There are many distinguished dignitaries, military and civilian, domestic and foreign, who visit Air Force installations for festive occasions, as well as for official business. As a participant in an official affair, such as a ceremony or a social event, you may serve as a project NCO for distinguished guests who are visitors on your base. AFR 900-6, *Honors and Ceremonies Accorded Distinguished Persons,* prescribes the honors Air Force installations should accord these visitors. These policies should be observed as closely as possible. However, officials of the DoD and members of the Armed Forces are encouraged to decline routine honors unless they serve a useful purpose, such as improving morale or maintaining national prestige.

4.2.2. As project NCO for distinguished guests, you represent your base and are responsible for assisting the visitors in an appropriate manner. To ensure their stay goes smoothly, it will save time and effort to contact the guests beforehand to find out if they desire special arrangements. This will enable you to make prearrangements, such as notifying the protocol office of the guests' transportation requirements for their stay on base. Other duties may include preregistering guests and meeting them upon arrival. After the guests arrive, escort them to their next destination. Have a scheduled itinerary and a welcome package placed in the visitors' quarters. Include such items as a recent base newspaper, installation commander's or host commander's biography (in the case of a senior enlisted distinguished visitor, such as the CMSAF, it would be appropriate to include biographies on senior enlisted advisors, host PME commandants and program managers, host CMSgts and first sergeants), unit or base history, telephone numbers of base facilities, and maps of the base and local area. Also include instructions for any difficult-to-use appliances or machines in the guest room and specific instructions on using the telephone system in the guest room.

4.2.3. The guest speaker at a special function, such as a Dining-In, should receive a thorough briefing as to the order of events. Guests may have official business in conjunction with the social affair they are attending. Their stay may be extensive. If so, make sure the guests have schedules that allow enough time for meetings, telephone calls, meals, changes of clothes, coffee breaks, occasional rest periods, and transportation. Do this by making dry runs to time the travel from place to place. Allow extra time for boarding vehicles and transferring baggage. If there is a large number of people in the official party, be sure to brief all drivers on their schedules and give explicit directions so the drivers can operate independently if they become separated. Arrange with the billeting office for payment of the bill and checkout. Before the guests depart, find out if they desire flight lunches if leaving by military aircraft. If so, ensure they are available. Your efforts will determine the impression the visitors leave with. If you run into difficulty or have questions, do not hesitate to contact the base protocol office—the staff is there to help you.

4.2.4. Protocol reflects the observance of mutual respect and consideration among all individuals—military or civilian. This code of conduct is not just an ornate show of ceremony, but is a spirit deeply rooted within military life. Knowing your local rules of protocol and following them will help ensure your military functions are special for you, the attendees, and your guests.

4.3. Military Ceremonies. The enlisted corps has a variety of programs to recognize individuals for outstanding performance, achievements, promotion to the senior NCO grades, and other contributions to the enlisted force. Some programs are in AFI 36-2805, *Special Trophies and Awards*, while other programs have no specific guidelines. The most common recognition programs senior NCOs must become familiar with are the Induction of MSgts into the "Top 3," Order of the Sword, and retirement ceremonies.

4.3.1. **"Top 3" Induction.** Promotion to the grade of MSgt is a significant milestone in an enlisted member's Air Force career. The individual promoted has demonstrated the capability for increased responsibility. A MSgt begins to climb the "Top 3" ladder as a manager. Thus, it is proper to recognize and initiate a member into the "Top 3;" however, there are no established guidelines for inducting the member. Some bases or units perform monthly induction ceremonies. Mementos, such as certificates or engraved plaques, are presented to the new MSgts. This gesture will preserve the moment and

recognize their accomplishments. Promoted senior NCOs will surely face new challenges; this formal induction into the "Top 3" can help make them aware of their new obligations. If your base, unit, or organization does not recognize this achievement, you should consider initiating this tradition.

4.3.2. **Order of the Sword:**

4.3.2.1. *Background.* The Order of the Sword is patterned after two orders of chivalry founded during the Middle Ages, both of which are still in existence. The rank of NCO, as we know it today, was established in the early 12th century. In 1522, King Gustavus I of Sweden enjoined the noblemen commissioned by him to appoint officers to serve him. Those appointed were the accountants, builders, craftspeople, teachers, scribes, and others responsible for conducting the ordinary daily affairs of the kingdom. The system worked so well it was incorporated into the Swedish Army as a way to establish and maintain a cohesive, disciplined, well-trained force for the protection of lives and property in the kingdom. These ancient NCOs would honor their leader and pledge their loyalty by ceremoniously presenting him with a sword. The sword--a symbol of truth, justice, and power rightfully used--served as a token for all to see and know that here was a "leader among leaders" and an "airman among airmen." This ceremony became known as "The Royal Order of the Sword." It passed through the ages, coming to America about the time of the Revolutionary War. It lay dormant for many years. The only known instance of its use was in the 1860's, when General Robert E. Lee was presented a sword by his command.

4.3.2.2. *A Current Ceremony.* The "Royal Order of the Sword" ceremony was revised, updated, and adopted by the NCOs of the US Air Force in 1967. The Order of the Sword is the highest honor and tribute NCOs can bestow upon an individual.

4.3.2.3. *The Order of the Sword Committee.* Each MAJCOM, field operating agency (FOA), and direct reporting unit (DRU) establishes its own procedural guidelines for the Order of the Sword. An Order of the Sword committee serves as the executive agent and is responsible for the development of guidelines, nomination procedures, and the protocol of the induction ceremony. This committee is usually chaired by the command senior enlisted advisor, who is also the "Keeper of the Sword." Other membership includes the senior enlisted advisors of the wings or bases. This committee rests as the approval authority for any nomination submitted for induction into the Order of the Sword. Since procedures vary from command to command, we will discuss them only in very general terms.

4.3.2.4. *Nomination and Selection.* NCOs wishing to nominate an individual for induction into the Order of the Sword should contact their senior enlisted advisor to determine processing procedures. (*NOTE:* The nominee should not be informed that a recommendation for induction into the Order of the Sword is being processed.) The nomination folder should include a biographical sketch of the nominee and a complete rationale for the nomination. The nomination memorandum should be thorough enough so the executive committee can weigh carefully the merits of the individual for this significant recognition. The command senior enlisted advisor will then inform the nominating organization of the executive committee's decision and provide appropriate guidance and procedures as necessary.

4.3.2.5. *Preparation for the Ceremony.* Once the nomination is approved, the committee will begin planning the ceremony. The preparations required for the Order of the Sword ceremony are similar to those for the Dining-In, which is discussed later in this chapter. The hosting NCOs are responsible for the planning, execution, and cost of the ceremony. This includes the dinner, awards, and presentations to be made to the honoree, ceremonial equipment such as individual swords, and printed proclamations.

4.3.2.6. *The Induction Ceremony.* The evening affair usually consists of a social period, formal dinner, and induction ceremony. The required dress is the mess dress or semiformal uniform. The primary participants in the Order of the Sword ceremony are the sergeant major, first sergeant, duty sergeant, and the sergeant at arms. These individuals have specific speaking parts and duties during the induction ceremony. MAJCOM, FOA, and DRU directives provide specific guidance for the NCOs serving in these positions. The ceremony should be well-rehearsed so it reflects formality, dignity, and prestige.

4.3.2.7. *Permanent Recognition in the Order of the Sword.* The CMSAF maintains the official list of all MAJCOM, FOA, and DRU Master Swords and a list of all recipients of the Order of the Sword. Each sponsoring command maintains a Master Sword designed for its ceremonies. These swords are on display at the respective command headquarters. A nameplate commemorating the command's induction of each person into its Order of the Sword is affixed to its Command Master Sword.

4.3.3. **Retirements:**

4.3.3.1. Military retirement is the culminating milestone to an enlisted member's career. NCOs retiring from the Air Force should leave with a tangible expression of appreciation for their contributions made to our service and its mission. NCOs should leave the Air Force with the feeling that they will continue to be a valuable resource, even in retirement. Do not hesitate to help or plan an NCO

retirement; after all, you too will retire someday.

4.3.3.2. If you are in charge of the retirement ceremony, first determine the retiring member's desires. Ceremonies can range from the formal military retreat or parade to the informal office retirement. You must next work with the unit commander to determine what awards or certificates will be appropriate to present. Make arrangements to secure certificates of retirement for both the retiree and spouse, the Air Force retirement lapel button, an end-of-tour decoration, and any other awards, decorations, honors, or letters of appreciation. Normally the unit commander will conduct the retirement ceremony; however, ask the retiree if he or she has another senior officer in mind to perform the retirement—making it a memorable event. Ensure invitations are sent promptly to guests the retiree desires to attend. Contact your local protocol office for any further assistance.

4.4. Dining-In and Dining-Out. The Dining-In and Dining-Out represent the most formal aspects of Air Force social life. The Dining-In is a formal dinner for the military members of a wing, unit, or organization. The Dining-Out, on the other hand, is a relatively new custom that includes spouses and guests; otherwise, it is very similar to the Dining-In. As a senior NCO, you should participate in planning a Dining-In or Dining-Out for your unit when possible. In this section, we will help you prepare for this responsibility by discussing some of the many aspects of the Dining-In. (*NOTE:* We will use the term Dining-In throughout this section; however, most of this information applies equally to the Dining-Out.)

4.4.1. **History:**

4.4.1.1. Formal military dinners are a tradition in all branches of the armed services. In the Air Force and Navy, it is the Dining-In; in the Army, the Regimental Dinner; and in the Marine Corps and Coast Guard, Mess Night. As with most ancient traditions, the origin of the Dining-In is not clear. Formal dinners are rooted in antiquity. From pre-Christian Roman legions, to second century Viking warlords, to King Arthur's knights in the sixth century, feasts to honor military victories, as well as individual and unit achievements, have been a custom.

4.4.1.2. Some military historians trace the origins of the Dining-In to the old English monasteries. The custom was then taken up by the early universities and eventually adopted by the military with the advent of the officers' mess. With the adoption of the Dining-In by the military, the dinners became more formalized. British soldiers brought the custom to colonial America, where it was adopted by George Washington's Continental Army.

4.4.1.3. The Air Force Dining-In custom began in the 1930's with General Henry H. "Hap" Arnold's wing-dings.

The close bonds enjoyed between the Air Corps officers and their British colleagues of the Royal Air Force during World War II added to the American involvement in the Dining-In custom. The Dining-In has a rich tradition, and this tradition lives today.

4.4.2. **Purpose**. The primary purpose of the Dining-In is to enhance morale and esprit de corps within an Air Force unit. It gives members a chance to see how ceremony, custom, and tradition build these traits. It is also an appropriate setting for recognizing individual or unit awards and achievements. The Dining-In serves its purpose well in the Air Force. The dinners have become an occasion for officers and NCOs alike to meet socially at a formal military function. It enhances the esprit de corps of units, lightens the load of demanding day-to-day work, gives commanders the opportunity to meet socially with their people, and enables members of all grades to create better working relations through an atmosphere of good comradeship. It is important for the success of the Dining-In that members enjoy the evening and for the ceremonies to be tasteful and dignified. A Dining-In should have a theme around which the decorations and ceremony are built.

4.4.3. **Attendance.** Traditionally, attendance at a Dining-In was mandatory; some commanders still consider this function as mandatory, similar to commander's call. Other commanders feel that voluntary attendance enhances the spirit and enthusiasm. The decision as to whether a Dining-In is voluntary or mandatory rests with the commander.

4.4.3.1. *Members of the Mess.* Military members assigned to the unit holding the Dining-In are the members of the mess. Members not assigned to the unit, but who participate in the Dining-In, are not members of the mess and attend only as guests.

4.4.3.2. *Guests of the Mess.* There are two types of guests: official and personal. Official guests are honored guests of the mess. The guest speaker is an official guest. All official guests sit at the head table and members of the mess should share their expenses. Because of the cost and space at the head table, limit the number of official guests. Personal guests may be either military or civilian (Dining-Out only). They do not sit at the head table, and the members of the mess pay for their respective guests' expenses. When you invite guests, such as distinguished senior officials from other units, organizations, or civic leaders, it is customary, although not mandatory, for you to pay for their expenses. You should, however, provide an escort or host when protocol dictates.

4.4.4. **Dress.** Officers must wear the mess dress uniform. Enlisted members wear the mess dress uniform or the semiformal dress uniform. Civilian guests usually wear

semiformal attire, but may wear business attire. Be sure to clearly state the proper dress for the civilians in the invitation. Retired military members may wear the mess dress or civilian attire.

4.4.5. **Duties and Responsibilities.** There are four key players involved in planning and conducting the Dining-In: the president of the mess, the arrangements officer or NCO, the host officers or NCOs, and the vice president. Duties and responsibilities of each of these key players are as follows:

4.4.5.1. *President of the Mess.* The president of the mess is usually the commander of the unit holding the Dining-In. As such, the president has the overall responsibility for planning and executing the Dining-In and for setting the standards for members of the mess. As commander, the president retains authority to control rowdy, boisterous, and improper behavior. Other duties of the president include those identified in figure 4.1. The president may delegate many of these duties to the arrangements officer or NCO, who must work closely with the president to ensure the success of the Dining-In.

4.4.5.2. *Arrangements Officer or NCO:*

4.4.5.2.1. The arrangements officer or NCO is directly responsible to the commander for planning the Dining-In and for attending to numerous details required for a successful event. The person serving in this position should be a top planner and supervisor, as this person is the architect of the Dining-In.

4.4.5.2.2. If you are appointed as the arrangements NCO, you must work closely with the president in determining the date, time, and location and in identifying and inviting the guest speaker. You are also responsible for the menu, seating, decorations, music and entertainment, billing and reservations, invitations, and agenda. However, be careful not to make any final decisions on major aspects of the Dining-In without consulting the president. Some of the other duties you may have to perform include those outlined in figure 4.1.

4.4.5.3. *Host Officers or NCOs.* The president should appoint one host officer or NCO for each official and distinguished personal guest. The primary duty of the host officer or NCO is to ensure all the necessary accommodations are made to help the guest enjoy the Dining-In. Figure 4.1 identifies these duties more specifically.

4.4.5.4. *Vice President.* The vice president serves as the president's principal assistant. The vice president traditionally is the most junior member of the mess; however, the president may select another member to serve in this demanding position. The success of the evening hinges largely on the imagination and humor of this individual. Essentially, the vice president, a master or mistress of ceremonies, "Mister or Madam" Vice, keeps the program moving and stimulates table conversation through keen wit and impromptu speaking ability. The vice president also notes and makes special mention of the violations of the rules of the mess and breaches of protocol and etiquette. Traditionally, the vice president sits alone at the back of the dining room facing the president. This position allows the vice president to observe the proceedings and monitor the flow of the program. The vice president must be totally familiar with the customs and traditions of the mess.

4.4.6. **Planning the Dining-In.** It is important to begin planning early for a Dining-In. A lead time of 90 days is not too soon to start, and sometimes even an earlier start may be required. Because of all the tasks you must accomplish, it is usually a good idea to have a planning committee. The arrangements officer or NCO chairs this committee. The size of the committee generally depends on the size of the function. When possible, select committee members who have experience in the area of their responsibility. For example, someone with a finance background could handle the budget and billing, the public affairs officer or NCO could handle publicity and photography, and so forth. Ensure one of the members is designated as a protocol officer or NCO, if only in an advisory capacity.

4.4.7. **Committee Tasks.** The planning committee has many tasks and details to handle. In this section, we will look at the more important tasks the committee performs.

4.4.7.1. *Date and Location.* Selecting a date and location for the Dining-In should be the committee's first step. When selecting a tentative date, make sure the date does not conflict with other military commitments, such as deployments, inspections, or other major base or community social functions. If you already have a guest speaker in mind, informally check the individual's availability. Next, select a tentative place to hold the Dining-In. If you must consider off-base sites for the ceremony, make sure the prospective caterer is willing and able to meet your specifications. Make sure you understand all provisions of the contract before signing it, as it may hold you legally liable. You should pay particular attention to cancellation clauses and cost factors, such as whether the quoted price includes tax and

Figure 4.1. Dining-In/Dining-Out Players' Duties and Responsibilities.

KEY PLAYER	DUTIES AND RESPONSIBILITIES
President	Oversee entire organization and operation of the Dining-In. Invite appropriate guest speaker. Arrange for chaplain to give the invocation. Appoint key players and any committee members. Greet all guests before dinner. Open and close mess.
Arrangements Officer/NCO	Establish correct table and seating arrangements. Arrange necessary name and organization cards. Ensure flags are in place before the opening of the lounge. Arrange for lighted lectern and public address system. Place dinner chimes at Mister or Madam vice's location. Ensure awards are on hand and in place. Arrange for a photographer if pictures are desired. Publish a detailed agenda. Prepare recommended guest list for the president. Brief senior Allied military member on the proper toasts. Reproduce biographical sketches of guests, as required.
Host Officers/NCOs	Contact the guest in advance to discuss aspects of the Dining-In. Arrange for transportation and lodging, if necessary. Meet and escort the guest to the Dining-In. Introduce the guest to the president and other guests. Ensure the guest is always in the company of several members of the mess. Ensure individuals or groups don't monopolize the guest. Escort the guest to the point of departure.
Vice President	Open the lounge at the appointed time. Sound the dinner chimes at the appropriate time. Prepare appropriate toasts as the president directs. Compose poems and witticisms at the commander's discretion.

gratuity. Deadlines for guaranteed reservation numbers and cost of "no-shows" are other important considerations.

4.4.7.2. *Guest Speaker.* Once the president approves the date and location, the next task is to invite the guest speaker. Traditionally, the speaker is a high-ranking military officer, CMSgt, or government official. The arrangements officer or NCO usually prepares a letter of invitation for the president's signature. The letter should include the date and place of the Dining-In and describe the audience and other pertinent facts about the occasion. It is also appropriate to suggest suitable topics and length of the speech. Most speakers center their speech around the theme. Mail the invitation as soon as possible after setting the date. It is a good idea to have an alternate speaker in mind just in case the speaker of choice cannot attend or must cancel.

4.4.7.3. *Invitations to Senior Officials.* If the organization wants to extend invitations to senior officials, such as the MAJCOM commander, senior enlisted advisor, or other officials, send invitations through command channels. Invitations to other distinguished

visitors, such as the CMSAF, are a procedural matter set by MAJCOMs.

4.4.7.4. *Publicity.* Be sure to publicize the Dining-In to members of your organization, especially the junior members. Many times, you will find them fearful of the rules of the mess. In this instance, it is a good idea to send the rules of the mess out early. This will allow all members of the mess time to get acquainted with the rules. You will find that attendance will improve by keeping your organization informed, involved, and at ease.

4.4.7.5. *Invitations and Placecards:*

4.4.7.5.1. You should send formal invitations to both official and personal guests and extend them in the name of the president. Invitations may be engraved or printed by a printing plant, or some organizations use an automated calligraphy font on their computers or word processors and print their invitations using a laser printer. Still, other organizations hand write the information on fill-in-the-blank invitations. All are acceptable, except typing the invitations on a typewriter. Unless readily available, you should order the invitations well in advance and mail them

at least 2 to 3 weeks before the Dining-In. Usually, members of the mess do not receive formal invitations.

4.4.7.5.2. Placecards are necessary only at the head table. It is acceptable to use folded white 3- by 5-inch cards. Use a black felt-tip pen so the guests can easily read them in dim light. For multiple-word military titles, use only the conversational title; for example, Lieutenant Colonel Jones would be written as Colonel Jones. For other than the head table, you can use organizational identification cards if that is the seating plan, or you can use a card with the table number, or both. You only need one card per table, but the cards should be uniform in size, color, and lettering. Placecards at each setting are becoming increasingly popular at Dining-Ins.

4.4.7.6. *Music.* A military band or ensemble is the best choice for music. Elements of a band or ensemble, such as a choral group or string ensemble, can fit nicely into the theme of a Dining-In. Schedule a band or one of its elements through the base public affairs office. If you cannot find a suitable band or ensemble, you might consider a taped program. However, no music is better than inappropriate music.

4.4.7.7. *Menu:*

4.4.7.7.1. The standard dinner at a Dining-In consists of a salad, entree, and dessert. While you can easily add appetizers and soups, a larger menu means higher costs, and portions of large meals often go uneaten. When planning the menu, you should also consider any dietary restrictions for any guests of honor or members of the mess, or an alternate menu choice for members of the mess who may be vegetarians or who prefer not to eat the main entree for a variety of other reasons.

4.4.7.7.2. Wine is an integral part of the Dining-In. It not only adds to the meal for many people, but also is used for toasting. Have the wine in decanters so waiters or waitresses may serve it or simply place the decanters where the attendees may serve themselves. Water should also be available for those who do not wish to drink wine, with refills readily available.

4.4.7.8. *Seating:*

4.4.7.8.1. The typical table arrangement for a Dining-In is the banquet style or "E," "T," or "U" formations (figure 4.2). You should consider ease of passage and space between tables when deciding on specific arrangements. Your enlisted club may have seating formations for you to select for the number in your party. Although Mister or Madam Vice usually sits alone at the end of the room opposite the head table, convenience and physical layout

of the facility may dictate seating the vice president at another location. In any event, ensure Mister or Madam vice never sits near or at the head table.

4.4.7.8.2. Seating at the head table is strictly according to protocol, with the senior guest to the right of the president, the next senior person to the left of the president, and so forth. Usually, the senior guest is the guest speaker; however, if this is not the case, it is customary to informally ask the senior guest to give up that position to the guest speaker. Personal distinguished guests should always be seated in the front seats of the other tables.

4.4.7.8.3. Head table seating for a Dining-Out, however, becomes more difficult because protocol dictates you use a man-woman alternating pattern within constraints. Seat spouses in precedence according to their military member's grade. Spouses do not sit together, nor should two women sit together. Because of the variety of circumstances that can occur, refer to your local or MAJCOM protocol office for advice.

4.4.7.8.4. An optional feature to consider is whether to include a prisoner of war (POW)/missing in action (MIA) table. This round table is smaller than the others-- symbolizing the frailty of one prisoner alone against oppressors. If included, it is placed at the front of the mess with only one unoccupied chair. The items on the table represent various aspects of the courageous men and women still missing. For further guidance concerning the POW/MIA table, refer to your local or MAJCOM protocol office.

4.4.7.9. *Decorations:*

4.4.7.9.1. When planning the decorations for the Dining-In, consider those for the table and those for the dining room and lounge. Try to limit the table decorations to floral centerpieces and silver candelabra; however, formal organizational decorations may also be appropriate. The club or caterer may be able to provide the silver. More than likely, you will have to order the flowers from a florist. Order the flowers at least 1 week in advance. It is generally best to set a decorations budget and let the florist work within these dollar limits.

4.4.7.9.2. Dining room and lounge decorations are usually seals, emblems, flags, and colors tastefully displayed. When in doubt, keep the theme of the decorations patriotic (flags; banquet colors of red, white, and blue; and other like items). Usually the mementos are part of the decorations. This can allow you to obtain the mementos and decorations for one price.

Figure 4.2. Seating Arrangements.
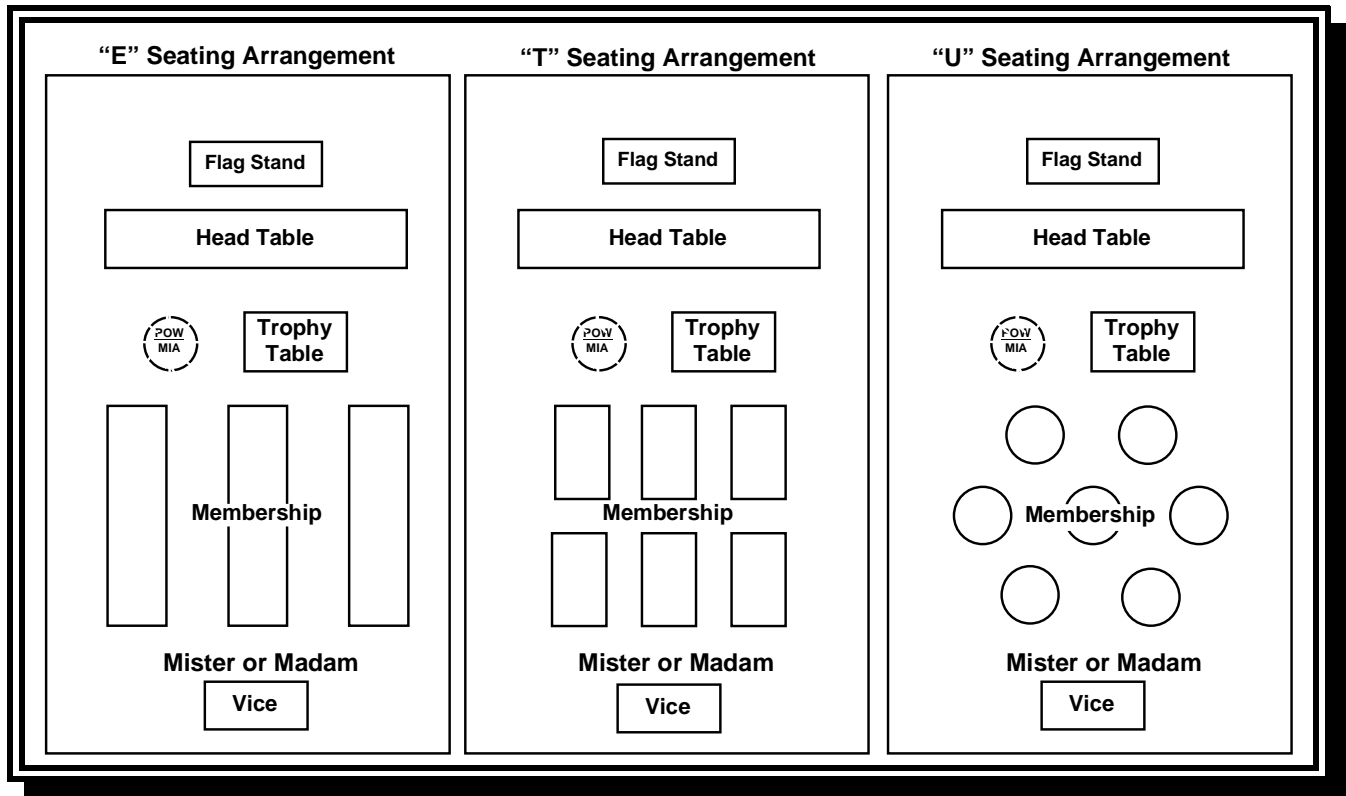
4.4.7.9.3. If the dining room arrangement does not permit the American flag to be centered behind the head table, then it should be placed to the left of the head table, as the members of the mess would view it. Place all other flags to the right of the American flag. When you use the American flag as a wall decoration or table decoration, follow the flag protocol in AFI 84-101*, Historical Products, Services, and Requirements.* If foreign nationals attend the Dining-In, display their countries' flags if available. The protocol office at MAJCOMs can loan flags or other protocol items as long as sufficient lead time is available. If general officers attend, display flags with the appropriate number of stars. One flag for each general officer grade in attendance is sufficient.

4.4.7.10. *Program:*

4.4.7.10.1. A program booklet, although not required, is one of the many finishing touches that help give the Dining-In a touch of class. The program may be printed in-house or by commercial means. Commercial companies may often produce a more professional product, but the cost may be prohibitive. One way around this is to find a sponsor who will pay for the printing in return for back-page advertising or a credit.

4.4.7.10.2. If you elect in-house printing, give some consideration to dressing up the booklet, such as quality paper stock, graphic art, type size, and variations in type face (for example, old English or script). You may want to include in the program a welcome letter from the commander or senior enlisted advisor, a biography of the guest speaker, the agenda, the schedule of and response to toasts, and the menu. Other items such as photographs of the guest speaker and president may also be appropriate. You can determine the cost, method of production, and contents of the booklet by local practice and the president's preference. A professional-looking program adds a nice touch, and many people like to keep it as a memento of the occasion. Usually, one booklet for each place setting is sufficient. Be sure to obtain all this information well in advance to allow enough time for the preparation and printing of the program.

4.4.7.11. *Budget.* An exotic menu, elaborate decorations, engraved invitations, and a fancy program could result in very high cost to members of the mess. Remember, the Dining-In is for the members of the mess, and you should take their desires into account. If some of these traditions are too expensive, unavailable, or simply not desired, disregard them. With some imagination, relatively simple decorations, and a simple, moving, patriotic ceremony,

you can make the Dining-In a first-class event without excessive cost. A Dining-In at a reasonable cost to each member will be far more enjoyable than an expensive extravaganza. Once you determine the tentative costs, the person in charge of handling the finances should develop an operating budget. Accurately projecting expenditures is necessary for determining the approximate cost to each member and the unit. If you are planning a fundraiser to offset the price of the meal, ensure you do this before setting the price per person.

4.4.7.12. *Billing.* Next, establish a procedure for collecting and depositing money. A separate bank account just for the function may be advisable. For a large function, it may be best to request certain people serve as key workers within the various elements of the unit. They would be responsible for taking reservations, collecting the money or club card numbers, and turning over these funds to the planning committee. The planning committee makes up the seating arrangements with the use of the reservation list.

4.4.7.13. *Other Considerations.* It is impossible to cover every minor detail the planning committee should consider, but there are a few others worth noting.

4.4.7.13.1. *Bartenders.* Do you have enough bartenders? There never seems to be enough of them during the cocktail hour before you seat your guests in the dining room. One solution to eliminating a long line is to start the evening with extra bartenders at each bar. However, this will increase the cost. Remember, drinks are not allowed in the dining room. You will not need a bartender during the Dining-In; however, you will during the break. Therefore, a more practical solution is to have the drinks prepoured or premixed. This saves time and helps eliminate long bar lines. Bartenders should make sure ample supplies of nonalcoholic beverages, including diet beverages, are also available at each bar. If your event is in a base club, you usually will not have to worry about the bartenders.

4.4.7.13.2. *Chaplain.* Did you remember to invite a chaplain to give the invocation? The chaplain usually sits at the head table, but it is not mandatory. It is also permissible for a member of the mess to give the invocation.

4.4.7.13.3. *Photography.* Have you scheduled a photographer? You should brief and provide an agenda to the photographer beforehand. List the specific photographs you desire and make clear your requirements for color or black-and-white pictures. Remember, color photography is expensive and may require additional justification. Make sure the photographer does not detract from the ceremony or activities. If necessary, stage photos before or after the event.

4.4.7.13.4. *Gift for the Guest Speaker.* Did you get a gift for the guest speaker? The gift should be of nominal value. A plaque commemorating the occasion or the president's gavel is quite acceptable.

4.4.7.13.5. *Site Inspection.* You should check the site of the Dining-In thoroughly on the day of the event, and as early in the day as practical. Every committee member should be involved in the site inspection. Many little details may need to be modified or corrected. Be sure the mementos, programs, POW/MIA table (if applicable), seating chart, gavel, chimes, and briefing room are in place. The sound system, lighting, and temperature control units can spell failure for your event if they are not operating properly.

4.4.8. **Conducting the Dining-In (with General Officer in Attendance).** The Dining-In is never rehearsed, although certain portions should be because key players frequently do not know or remember what someone did at the last Dining-In they attended. A script can be used and is usually prepared by the president and Mister or Madam Vice. This script provides for the sequence of events from arrival to adjournment and the associated rules and rituals to the extent historical research will support (figure 4.3).

4.4.8.1. *Cocktails.* Each member of the mess should arrive in the lounge within 10 minutes of the opening time. Members should never arrive after the senior guest. The cocktail period usually lasts between 30 to 60 minutes. This time allows members to assemble before dinner and meet the guests. Host NCOs should never leave guests unattended, and members should rotate between guests to ensure conversations remain stimulating. The cocktail hour does not lend itself to heavy hors d'oeuvres; however, light snacks such as chips, pretzels, and nuts may be made available in the lounge. Background music is also appropriate. It should be soft, classical or semiclassical, and either recorded or live.

4.4.8.2. *Assembling for Dinner.* At the end of the cocktail period, Mister or Madam Vice sounds the dinner chimes and directs the mess to proceed to the dining room. Members and guests who will be sitting at the head table remain in the lounge or assemble in an anteroom. All others should proceed in an orderly fashion to their seats and stand quietly behind their chairs. By tradition, drinks and lighted smoking materials are never taken into the dining room. When the mess is assembled, the guests to be seated at the head table enter in the order they will sit at the table so the entrance and seating proceed smoothly. Once the head table guests are in place, ruffles and flourishes are sounded as appropriate to the senior official. During the playing of ruffles and flourishes, all members of the mess must stand at attention.

Figure 4.3. Sequence of Events.

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SEQUENCE OF EVENTS

1830   Lounge opens for refreshments. Host officers/NCOs are in place if meeting guests.

1910   Mister or Madam Vice announces assembly. Guests and members should move into the dining room upon sounding of chimes by Mister or Madam Vice.

1915   Assemble in dining room.
(No drinks are allowed in the dining room. Smoking lamp is out.)

1916   President: Raps once with gavel and declares, "The mess will come to order." Color guard presents the colors. If no color guard is available, then the colors should be in place before the opening of the mess. National anthem.

President :   "Chaplain_____, will you give the invocation, please."

Chaplain: Gives invocation.

President: "Ladies and Gentlemen, a toast to the colors."

Members: "To the Colors."

President: If Allied military members are present, it is appropriate to toast the heads of their respective nations at this time. (Contact protocol for appropriate toasts to the heads of Allied nations.) This is done according to the ranks of the Allied members present. Following these toasts, the senior Allied military member proposes a toast to the Commander in Chief (the President of the United States). If no Allied military members are present, the president of the mess proposes the toast.

Members: "To the President."

President: "Mister or Madam Vice."

Mister or
Madam Vice: "Yes, Sir or Madam."

President: "A toast to the Chief of Staff."

Mister or
Madam Vice: "Yes, Sir or Madam. Ladies and Gentlemen, I propose a toast to the Chief of Staff, United States Air Force."

Members: "To the Chief of Staff."

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Note: If the other services are present, then it is appropriate for Mister or Madam Vice, following instructions from the president, to propose a toast to the Chief of Staff of the Army, Chief of Naval Operations, or Commandant of the Marines.

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4.4.8.3. ***Calling the Mess To Order.*** Immediately following the sounding of ruffles and flourishes, the president raps the gavel once to call the mess to order. The president should then direct the color guard to post the colors. The color guard marches into the dining room and posts the colors. If the colors are in place or if there is no color guard, the national anthem is played or sung immediately following the president's call to order. (A bugler may sound To the Colors instead of the national anthem.) The manner in which the colors are posted and

the playing of the national anthem can set the tone for the entire evening. A darkened room with a spotlight on the flag as the color guard carries it into the room and a soloist singing the national anthem with no background music can be a dramatic and moving event for all participants. Drama can also be taken too far, however, so keep it as simple as possible. Following the national anthem, the color guard departs the room. Since protocol does not require that the colors, once posted, be retired, it is acceptable to dismiss the color guard at this time. However, most units are now providing meals for the color guard. After the color guard departs or is seated, the president asks for the invocation. After the invocation, members of the mess and guests remain standing as the next order of business is toasting.

4.4.8.4. *Toasting:*

4.4.8.4.1. The custom of toasting is universal. It is believed that this custom came into wide acceptance after the effects of poison were discovered. When two persons, who may be antagonists, drink from the same source at the same instant and suffer no ill effects, a degree of mutual trust and rapport could be established. With this foundation laid, discussion could continue on a more cordial basis. Today, toasting is a simple courtesy to the person being honored.

4.4.8.4.2. It is not proper to drain the glass at the completion of each toast. A mere touch of the glass to the lips satisfies the ceremonial requirements. Toasts should be proposed in sequence and at intervals during the program of the evening.

4.4.8.4.3. The president proposes the first toast or toasts. If a toast To the Colors is done, it is always the first toast, to which the members of the mess respond, "To the Colors." The next toasts, in order of precedence, are to the heads of state of the Allied Nations represented by mess members. The toasts are made in order of seniority of Allied officers present. Remember that Commonwealth nations toast the sovereign, not an elected official. Consult the installation protocol office or the individual Allied officer for the proper terminology to use when toasting heads of state.

4.4.8.4.4. After the president of the mess toasts the head of each Allied Nation represented by a mess member, the senior Allied officer then proposes a toast to the President of the United States. The response of the mess is "to the President." If no members from Allied Nations are present, the president proposes the toast to the Commander in Chief. The response of the mess is "to the President."

4.4.8.4.5. Following the president's or senior Allied officer's toast, Mister or Madam Vice proposes a toast to the Air Force Chief of Staff. The response is "to the Chief of Staff." A toast to the Chief of Staff of other services is appropriate if officers of that service are present at the mess. The senior ranking officer representing a sister service then proposes a toast to the Chief of Staff, US Air Force. It is also appropriate at a Dining-In conducted by enlisted people to toast the CMSAF and senior enlisted chiefs of other represented services. (*NOTE:* If the POW/MIA table is included, then it is proper to propose a toast "to our (former) POWs and fallen comrades." This toast, called the "*one more roll,"* is with water only and can be proposed by the president, vice president, or other designated member of the mess. It will precede the toast to the Air Force Chief of Staff.)

4.4.8.4.6. Excessive toasting can make for a long evening. While other toasts may be appropriate, too many toasts can cause the evening to run behind schedule and dampen the enthusiasm of the members of the mess. At some locations, there may be a number of Allied officers present. In this case, it is appropriate to collectively propose a toast to the heads of state of all Allied Nations represented by mess members.

4.4.8.4.7. Informal toasts are also an important part of the occasion. They should be humorous, but in good taste. It may be advisable to "plant" some impromptu toasts to set the tone of the evening. Following the formal toasts, the president seats the mess with one rap of the gavel.

4.4.8.5. *Opening Remarks.* Besides setting the tone for the evening, the president's remarks provide the opportunity to officially welcome guests. After introducing those seated at the head table, the president should either personally introduce the remaining distinguished guests or poll the host representatives. After the president recognizes official and distinguished guests, Mister or Madam Vice proposes a toast to the guests. Members of the mess stand, while the guests remain seated. The response to this and all future toasts is "Hear, Hear!" The president then seats the mess and invites the members to eat.

4.4.8.6. *Dinner.* Meals are always served to the head table first. At other tables, the highest ranking persons are served first. Although this normally means junior members are served last, Mister or Madam Vice is an exception and should be served immediately after the head table. Toasts during the dinner and other related activities will take up so much of the president's and vice president's time that they simply will not have a chance to eat unless served early. The president always has the option to limit toasts to permit members to eat without being interrupted. Before serving the entree, the president may wish to add some humor to the meal by asking Mister or Madam Vice to sample the meal to make sure it is fit for consumption by members of the mess. The vice president may compose

an ode or poem to the meal. There are numerous variations best left to the imagination of the planning committee and the dictates of the president.

4.4.8.7. *The Grog Bowl:*

4.4.8.7.1. Although most organizations use a "grog bowl," it is not mandatory. The contents of the grog bowl are best left to the imagination of the planning committee. However, the contents should be nonalcoholic so as to not dampen the spirits and participation of those individuals who do not consume alcoholic beverages. An option could be made to have two grog bowls--one with alcohol and one without. Some organizations have successfully used a "grog mixing ceremony" where the individual contents of the grog are combined along with a humorous narrative by Mister or Madam Vice. At various points during the evening, a member may be sent to the grog bowl as punishment for violating the rules of the mess. Some of the more common violations are arriving late at the cocktail lounge, carrying drinks into the dining room, toasting with an unfilled glass, or discussing business-- referred to as "opening the hangar doors."

4.4.8.7.2. Certain members of the mess seem to be frequent violators of the rules of the mess. Mister or Madam Vice is one such person. It is not uncommon for the president and the guest speaker to be charged with at least one violation. If the president must temporarily leave the head table, that individual must appoint another person to assume the president's role. If the president fails to appoint someone in his or her absence, he or she relinquishes the position to the next senior official at the head table.

4.4.8.7.3. The president, vice president, or any member of the mess can note infractions warranting a trip to the grog bowl at any time. Members bring infractions to the attention of the president by raising a point of order. If the validity of the charge is in question, members vote by tapping their spoons on the table (handclapping is not allowed at a Dining-In). When the president directs a violator to the grog bowl, the individual performs the procedures the program prescribes.

4.4.8.8. *Recess.* At the time scheduled for recess, the president raps twice and announces a short recess to enable the facility's staff to clear the dishes and serve dessert. Members go to the cocktail lounge where the bar is open.

4.4.8.9. *Reconvening the Mess.* At the end of the recess, Mister or Madam Vice sounds the chimes and directs everyone to return to the dining room. Again, members should not take drinks into the dining room. When members reach their places, they stand directly behind their chairs. The president then leads the head table party

into the dining room and seats the mess with one rap of the gavel. Members then partake of dessert and coffee or tea.

4.4.8.10. *Recognition and Awards.* If you recognize individual or unit awards and achievements, an appropriate time would be after the dessert. Individual recognition may be of those officers or NCOs selected for promotion or awards such as Junior Officer or NCO of the Year. A toast may also be appropriate at this time.

4.4.8.11. *Guest Speaker's Address.* After recognition and awards, the president introduces the guest speaker. The speaker's address typically lasts 15 to 20 minutes and should be of a patriotic or entertaining nature. After thanking the speaker for his or her time and thoughts, the president presents the gift to the speaker. The president then asks the vice president to propose an appropriate toast to the guest speaker.

4.4.8.12. *Closing the Mess:*

4.4.8.12.1. After the toast to the guest speaker, the president should recognize those who organized the Dining-In and thank Mister or Madam Vice. The color guard may then retire the colors. The president encourages everyone to stay and enjoy themselves (if there is post-dinner entertainment) and then adjourns the mess with two raps of the gavel.

4.4.8.12.2. After adjourning the mess, members will remain at the Dining-In until the guest of honor and the president leave. If there is to be an extensive delay in their leaving, the president may allow members to leave at their own discretion. Some unobtrusive signal, such as casing the unit flag, is an appropriate means of notifying members the evening's activities are over. Traditionally, Mister or Madam Vice is the last member to leave the Dining-In.

4.4.9. **Post-Dinner Entertainment.** Today, the Dining-In is mostly an exercise in decorum. The adjournment is a signal for the vice president to open the informal part of the program. Since post-dinner entertainment depends upon the imagination of the sponsoring unit, the arrangements officer or NCO and the vice president must work within the guidelines the president sets. Consequently, detailed information concerning post-dinner entertainment is beyond the scope of this chapter. At the close of a Dining-In, an orchestra for dancing may be appropriate entertainment.

4.4.10. **A Final Word.** A Dining-In or Dining-Out is designed so members of an organization can have a good time together as a unit. You should note two cautions. First, do not go overboard with expenses. A good time does not have to be costly. Second, prepare an agenda and

stick to it. Too much entertainment can make the evening drag on, and the membership will likely remember the length of the evening rather than its success. The formal portion of the evening should be well-planned and kept on

schedule. A formal program that lasts between 2 and 2 ½ hours is ideal and allows sufficient time for informal entertainment.

NOTES:

Chapter 5

PROFESSIONALISM

5.1. Introduction:

5.1.1. Professions are more numerous than ever before. Professional people are a larger proportion of the labor force. The professional attitude, or mood, is likewise more widespread; professional status, more sought after (Hughes, 1963).[1]

5.1.2. These words, authored by Everett C. Hughes more than 30 years ago, still ring true in American society today; we are a society of professionals. According to the US Census and the Bureau of Labor Statistics, professional workers grew from 4 percent of the American labor force in 1920 to 15 percent in 1976 (Mosher, 1982).[2] As Kenneth S. Lynn (1963) writes, "Everywhere in American life, the professions are triumphant." [3] When considering the proliferation of professionalism, a natural and logical question is how far that proliferation extends. We would all, more than likely, agree with the recognition of "traditional" professions (medical doctors, members of the clergy, lawyers) when pondering this question. A more relevant question for NCOs, however, involves the applicability of the label "profession" to our chosen vocation and of the label " professional" to us.

5.2. The Concept of a Professional. There are numerous controversial issues that surround the concept of professionalism. There are volumes written on everything from the preparation required for membership in a profession, to the manner in which professional behavior is monitored and controlled. Attempting to address these many complex issues is well beyond the scope of this chapter. However, we will examine two primary questions that have been, and continue to be, a source of debate both inside and outside the military establishment: Are noncommissioned officers professionals? and What is a professional?

5.2.1. **Are Noncommissioned Officers (NCO) Professionals?** NCOs cannot be professionals--that is, members of a profession--unless our typical occupational behavior is similar to that of other professionals. We cannot know whether this is the case unless we first have a working model or definition of a professional in general. We will not conclusively resolve the debate about the professional status of NCOs in this single chapter; however, the material presented should help you to focus

your thoughts and better understand the issue.

5.2.2. **What is a Professional?**

5.2.2.1. We tend to give two different answers to the question. On the one hand, "when the term 'professional' has been used in connection with the military, it normally has been in the sense of 'professional' as contrasted with 'amateur'" (Huntington, 1957).[4] Medical doctors, members of the clergy, and lawyers deserve the designation of "professional" as contrasted with "amateur." This is not, however, what we have in mind when we debate the professional status of military personnel. Obviously, there is little room for debate on the point that airmen, soldiers, and sailors are professionals rather than amateurs.

5.2.2.2. On the other hand, when we wonder about the professional status of military personnel, we are wondering whether we are professionals in the sense of "'profession' as contrasted with 'trade' or 'craft'" (Huntington, 1957).[5] We tend to think of a profession as a human group of elite, highly trained servants who provide a service of tremendous importance. These are the true professionals, and they are far fewer than the professionals as defined earlier. True professionals are people like doctors, who selflessly work to cure disease and to heal the infirm. True professionals are members of the clergy, who accept low wages to tirelessly tend to the spiritual needs of the members of their congregations. True professionals are also attorneys and other officers of the court who work constantly to serve justice.

5.2.2.3. It may very well be that NCOs are also true professionals, but to decide this issue we need to understand exactly what "profession" means when contrasted with "trade" or "craft." The study of professions and professionalism is a relatively new phenomenon (Grace, 1975).[6] It is also a rather controversial issue, as the following excerpt from *The Need To Be More Professional...Whatever That Means* illustrates:

> *...because of the dynamic nature of the ideas and attitudes associated with the word profession, there is no generally accepted definition that is sufficiently*

[1] Hughes, E. C. (1963). "Professions," *Daedalus*, Vol. 92, No. 4, pp. 655-688.
[2] Mosher, F. C. (1982). *Democracy and the Public Service*, 2nd. ed., New York: Oxford University Press.
[3] Lynn, K. (1963). "Introduction," *Daedalus*, Vol. 92, No. 4, pp. 649-654.

[4] Huntington, S. P. (1957). "Officership as a Profession," *Concepts for Air Force Leadership*, (1983), Maxwell AFB: Air University Press.
[5] Huntington, "Officership as a Profession."
[6] Grace, J. A., Colonel, USMC. (1975). "The Need to Be More Professional . . . Whatever That Means," *Concepts for Air Force Leadership*, (1990) Maxwell AFB: Air University Press.

precise. However, some standard or ideal is necessary if we are to evaluate various manifestations referred to as professional. Sociologists tend to write about the specific differences between professional and nonprofessional behavior rather than describe any set of absolute characteristics which would define a professional. In other words, professionalism is a matter of degree.[7]

5.2.2.4. Although there are various approaches and the matter is controversial, we will use a model discussed by Bernard Barber more than 30 years ago. It is a straightforward model useful in discussing professions. Barber (1963) describes the attributes of a profession through the following description of professional behavior:

Professional behavior may be defined in terms of four essential attributes: a high degree of generalized and systematic knowledge; primary orientation to the community interest rather than to individual self-interest; a high degree of self-control of behavior through codes of ethics internalized in the process of work socialization and through voluntary associations organized and operated by the work specialists themselves; and a system of rewards (monetary and honorary) that is primarily a set of symbols of work achievement and thus ends in themselves, not means to some end of individual interest.[8]

5.2.2.5. To answer our second question (What is a professional?), we need to understand the four attributes identified by Barber. As we develop an understanding of each of these attributes, we will be able to work toward answering our first question (Are NCOs professionals?).

5.3. Generalized and Systematic Knowledge:

5.3.1. Every occupation has some degree and type of knowledge as one of its distinguishing characteristics. The application of that knowledge and advice regarding its application are the livelihood of the members of each occupation. Professions, in particular, have a high degree of generalized and systematic knowledge (Barber, 1963).[9] Members of professions have the sort of knowledge and

practice the kinds of skills not generally found in the population outside the profession. Concerning the knowledge of professionals, Hughes (1963) writes as follows:

The nature of the knowledge, substantive or theoretical, on which advice and action are based is not always clear; it is often a mixture of several kinds of practical and theoretical knowledge. But it is part of the professional complex, and of the professional claim, that the practice should rest upon some branch of knowledge to which the professionals are privy by virtue of long study and by initiation and apprenticeship under masters already members of the profession.[10]

5.3.2. Members of a profession "profess" to have a greater degree of expertise on the issues related to their chosen profession than the public-at-large. Consequently, professionals "claim the exclusive right to practice, as a vocation, the arts which they profess to know, and to give the kind of advice derived from their special lines of knowledge" (Hughes, 1963).[11] Is this generalized and systematic knowledge a characteristic of the vocation of NCOs?

5.3.3. NCOs do have the sort of knowledge and practice the kinds of skills not generally found in the population outside the profession. Even though some Air Force specialties involve knowledge and skills commonly found in the civilian community, many specialties do not. Examples of this type of specialty would include intelligence, command and control, and maintenance (due to the type of aircraft being maintained) specialties. Regardless of Air Force specialty, all NCOs must acquire and develop other generalized and systematic knowledge not found in the public-at-large.

5.3.4. NCOs must develop and maintain a thorough understanding of Air Force leadership (AFP 35-49) and supervisory techniques and apply these techniques in the supervisory role to support mission objectives. One might argue that leadership and supervisory techniques are generic principles found inside as well as outside the military. However, it may be erroneous to assume that leadership situations in the private sector are of the same nature as those found in the military. Clearly, it is much more difficult to lead personnel in a combat environment than in situations normally found in private sector professions.

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[7] Grace, "The Need to Be More Professional . . . Whatever That Means."
[8] Barber B. (1963). "Some Problems in the Sociology of the Professionals," *Daedalus*, Vol. 92, No. 4, pp. 669-687.
[9] Barber, pp. 669-687.

[10] Hughes, pp. 665-668.
[11] Hughes, pp. 665-668.

5.3.5. We must also possess a thorough understanding of Air Force standards, customs, and courtesies while maintaining exemplary standards of behavior, including personal conduct, loyalty, and personal appearance--both on and off duty. NCOs must also be familiar with:

- The UCMJ and MCM.

- The mission and history of the Air Force and present unit of assignment.

- Drill and ceremonial procedures.

- Air Force protocol procedures.

NOTE: Each of these areas of knowledge is unique to the military profession and some unique to the Air Force when contrasted with other branches of the Armed Forces.

5.3.6. NCOs must also understand and actively support the Air Force human resources development programs, such as Equal Opportunity and Treatment and Human Relations Education, to include counseling subordinates on matters relating to excessive use of substance abuse.

5.3.7. There are also specific responsibilities of senior NCOs that reflect this generalized and systematic knowledge. Enlisted professional military education (PME) is one of the main sources used to provide enlisted members with generalized and systematic knowledge. Enlisted members, primarily NCOs, develop, manage, and conduct these programs. Before the assumption of higher rank and the commensurate increase in responsibility, all enlisted personnel must attend PME courses.

5.3.8. The senior NCO must seek every opportunity for continued professional development. We can enhance our leadership and management through attendance at the US Air Force Senior NCO Academy. The senior NCO should also seek a well-rounded formal education as an integral part of preparing for increased responsibilities. Both on- and off-duty educational programs are valuable to help us improve as individual NCOs and to help enhance our value to the US Air Force. Senior NCOs should complete, to the maximum extent possible, those degree programs offered through the Community College of the Air Force (CCAF) or other voluntary military-sponsored educational programs.

5.3.9. Clearly, from our discussion we can conclude that NCOs do possess a high degree of generalized and systematic knowledge to which we are privy "by virtue of long study and by initiation and apprenticeship under masters already members of the profession (Hughes, 1963)." [12] NCOs do share this attribute of professionals discussed in Barber's model. To assess the next attribute

we need to look at how NCOs use this generalized and systematic knowledge.

5.4. Community Orientation:

5.4.1. We often fail to realize the potential power of possessing generalized and systematic knowledge. It can provide professionals with a great degree of control over society (Barber, 1963). This reality has serious implications regarding the interests served through the use of the knowledge a professional possesses. Barber goes on to write the following on this issue:

> *Since generalized and systematic knowledge provides powerful control over nature and society, it is important to society that such knowledge be used primarily in the community interest. Where such knowledge exists, orientation primarily to community rather than individual interest is an essential attribute of professional behavior. Individual self-interest is, of course, not utterly neglected in professional behavior, but it is subserved indirectly.[13]*

5.4.2. Nowhere is the NCO's commitment to the community interest made more clear than in the oath of enlistment:

> *I _____ do solemnly swear (or affirm) that I will support and defend the Constitution of the United States against all enemies, foreign or domestic; that I will bear true faith and allegiance to the same; and that I will obey the orders of the President of the United States and the orders of the officers appointed over me, according to regulations and the Uniform Code of Military Justice. So help me God.*

5.4.3. The true meaning of this commitment is expanded upon in the following excerpt from *The Future Demands of Military Professionalism: The Views of an Army Major:*

> *The concept of duty assumes a subordination of personal desires to service directed at some broader objective. The oath of military service defines that objective as the support and defense of the Constitution of the United*

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[12] Hughes, pp. 665-668.

[13] Barber, pp. 669-687.

States. As a member of a service, an individual accepts a series of narrowly defined duties to superiors and subordinates consistent with his responsibilities to uphold that oath. The broad requirements of duty become meaningful through a complex series of interpersonal responsibilities.... Although individual actions are rarely linked directly to the oath of office or national objectives, long-term commitment to those obligations, at least in part, permits an individual to subordinate personal desires and accept responsibilities imposed or required by the organization.

Although duty demands subordination of self-interest, it also requires a commitment to personal excellence...the concept of duty requires more than the execution of responsibilities to superiors and subordinates, it requires each individual to stretch his contribution to the limits of his potential. A commitment to duty thus requires a sense of motivation that goes far beyond personal gain, and it creates an obligation for continuing self-development to improve the extent and quality of one's service (Golden, 1983).[14]

5.4.4. The *NCO Creed* also emphasizes the NCO's community orientation. It challenges NCOs to conduct themselves in a manner that will always bring credit upon the NCO corps. It warns NCOs against using their "grade or position to attain profit or safety." It also states that NCOs must obey the highest standards of ethics: "I will not compromise my integrity nor my moral courage. I will not forget that I am a professional, I am a leader--I am a noncommissioned officer."

5.4.5. Another stark reminder of the community orientation of military professionals is contained in the words of Article 1 of The Code of Conduct: "I am an American, fighting in the forces which guard my country and our way of life. I am prepared to give my life in their defense." These words illustrate the total commitment to society each of us has made in choosing to serve as military professionals.

5.4.6. Society devotes extremely scarce resources (tax dollars) to the pursuit of national security. As the stewards

of these dollars, NCOs must be sure they are spent as wisely as possible. To spend them unwisely is to divert them away from the cause of national defense and has the potential to undermine society's trust in us to get the job done. That is why we have strict programs to control fraud, waste, and abuse.

5.4.7. It is also understandable that society expects us to safeguard its secrets and weapons of mass destruction. Those entrusted with these vital resources must pass the highest tests of stability and reliability. Those with histories of emotional disturbance, illegal activity, or drug abuse are denied access. Additionally, we cannot tolerate anyone "innocently" disclosing classified information.

5.4.8. This community orientation also necessitates that NCOs avoid any action that would lead the members of society to question our allegiance or our willingness to respond to society's demands. Obviously, we have good reason to question a person's willingness to obey society's demands if that person belongs to a group that advocates overthrowing the Government that society has chosen to live under. This is also why we have prohibitions concerning certain public statements or conduct while in the public eye. Society is right to question behavior that challenges public authority over the Armed Forces or suggests that the military has little or no respect for the civilian community.

5.4.9. Community orientation also helps to explain why we have the UCMJ and why it is important that we enforce the provisions of it. Society places such a high premium on the service provided to the community by the military that it authorizes the use of criminal penalties to enforce our responsibility. Military professionals must do as society asks, when and where society directs that it be done, or face the consequences. Failure to fulfill our responsibilities is punishable under the UCMJ, and the NCO's responsibility includes using the UCMJ to ensure subordinates do their job. This is but one aspect of the third attribute of professional behavior identified by Barber, self-control of behavior.

5.5. Self-Control of Behavior:

5.5.1. Not only is self-control of behavior a natural outgrowth of community orientation, it is also the first characteristic of professional behavior identified by Barber--a high degree of generalized and systematic knowledge:

Social control depends in part, obviously, upon substantive understanding of the behavior to be controlled. In the case of behavior characterized by a high degree of knowledge, the requisite understanding

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[14] Golden, James R., Major, USA. (1983). "The Future Demands of Military Professionalism: The Views of an Army Major," *Concepts of Air Force Leadership*, Maxwell AFB: Air University Press.

is available in full measure only to those who have themselves been trained in and apply that knowledge. It follows that some kind of self-control, by means of internalized codes of ethics and voluntary in-groups, is necessary. In the realms of professional behavior, such codes and such associations for the setting and maintaining of standards proliferate. Further controls on professional behavior exist, of course, in the informal agencies of public opinion and in government-legal agencies. But these other forms of social control are less important than in nonprofessional areas (Barber, 1963).[15]

5.5.2. The traditional professions mentioned throughout this chapter--particularly doctors and lawyers--clearly provide good examples of this characteristic of professional behavior (consider the important roles played by the American Medical Association and the American Bar Association). Although not as widely recognized, the same characteristic exists in the Armed Forces:

As in the case of other professions, the military has its own system of internal administration whereby it formalizes and enforces standards of performance. The chain of command, rank structure, decorations, and military justice system are manifestations of this and play an important part in knitting the members of the profession together into a corporate body. The American Medical Association does not like outsiders interfering with the internal workings of the medical profession, and military professionals share a similar view with respect to their profession. We want to police our own ranks and resolve internal problems among ourselves (Shiner, 1983).[16]

5.5.3. Hughes (1963) writes on this point:

Every profession considers itself the proper body to set the terms in which some aspect of society, life or nature is to be thought of, and to define the general lines, or even the details of public policy concerning it. The mandate to do so is granted more fully

to some professions than to others; in time of crisis it may be questioned even with regard to the most respected and powerful professions. These characteristics and collective claims of a profession are dependent upon a close solidarity, upon its members constituting in some measure a group apart with an ethos of its own.[17]

5.5.4. There are numerous aspects of the NCO corps that illustrate our desire to police our own ranks: an ethos that is our own. One of the most obvious is the principle of the chain of command and resolving problems at the lowest level possible. Perhaps we could all agree that we would much rather handle a problem with enlisted personnel-- particularly fellow NCOs--among ourselves. Attempting to resolve problems at the lowest level helps facilitate this. Senior NCOs must devote total effort in resolving the causes of any problem before it becomes a major issue. Typically, when a problem becomes a major issue and reaches the level that requires a commander's involvement it is because of legal constraints or requirements (for example, administering nonjudicial punishment).

5.5.5. NCOs must appreciate the enormous responsibility we have for the self-control of behavior. In addition to the responsibilities already mentioned, we must:

5.5.5.1. Exercise leadership by example by being alert to correct personnel who violate military standards.

5.5.5.2. Counsel members on any conduct, on or off duty, which may be detrimental to an individual's health and safety. NCOs must instruct subordinates in the safe practices observed in daily operations and enforce these standards and regulations.

5.5.5.3. Promote and employ all accepted mishap prevention techniques to eliminate or reduce the number and frequency of mishaps in all activities, both on and off duty.

5.5.5.4. Observe, counsel, and correct subordinates on matters of duty performance, professional relationships, and personal appearance--both on and off duty. ("Subordinate" refers to junior enlisted personnel and other NCOs of whom senior NCOs are responsible for supervising and leading.)

5.5.5.5. Ensure appropriate action is taken when the behavior or duty performance of a subordinate is marginal or substandard.

5.5.5.6. Support and promote an overall understanding

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[15] Barber, pp. 669-687.

[16] Shiner, J. F., Lt Col, USAF. (1983) "The Military Professional in America," *Concepts for Air Force Leadership*, Maxwell AFB: Air University Press.

[17] Hughes, pp. 665-668.

among subordinates of Air Force policy regarding physical fitness for total well-being.

5.5.5.7. Take the lead in achieving, maintaining, and enforcing Air Force standards, as well as good order and discipline.

5.5.6. These varied responsibilities pose quite a challenge to each and every NCO. There are also formal positions and organizations that have been established to aid in the self-control of professional behavior. Senior enlisted advisors, first sergeants, unit advisory councils, enlisted PME graduates' associations, top three associations, chiefs' groups, and the Air Force Association's Enlisted Council exist, among other reasons, to assist in the self-control of the professional behavior of the enlisted corps. Many of these positions and participation in these organizations, in most cases, are voluntary. This further illustrates the importance NCOs place on being involved in the establishment and maintenance of the standards of professional behavior we are expected to live by.

5.5.7. Some of the most striking evidence that we, as NCOs, accept professional responsibility for the self-control of behavior was mentioned earlier, the *NCO's Creed*. There are several versions of this creed circulating throughout the Air Force, all of which are expressions of our intent as NCOs to regulate ourselves. The creed is often read at recognition, NCO promotion, and top three induction ceremonies. It is framed and hung on walls worldwide, and senior NCOs commend the creed to junior personnel as worthy words to live by. It is nothing less than a statement of professional ethics that underscores the NCO's recognition and acceptance of professional responsibility, as these opening words illustrate:

> *No one is more professional than I. I am a noncommissioned officer, a leader of people. I am proud of the non-commissioned officer corps and will at all times conduct myself so as to bring credit upon it.*

5.5.8. These words are really a declaration of an NCO's commitment not only to assist in the self-control of the behavior of the NCO corps as a whole (as discussed earlier), but also more specifically to a commitment to personal self-control of our own professional behavior. As we are successful in controlling professional behavior, the fourth attribute of professional behavior discussed by Barber, a system of rewards, comes into play.

5.6. System of Rewards:

5.6.1. There are numerous ways to reward occupational behavior. Salary, general prestige, specific honors, and symbols of achievement are types of social reward for

occupational performance (Barber, 1963). Not all of these rewards are useful in rewarding individual self-interest, nor in rewarding community interest. Given the community interest emphasis in professional behavior discussed earlier, it would seem obvious that any system of rewards for professionals focus on rewards appropriate for community interest. Barber (1963) clarifies this issue:

> *Since money income is a more appropriate reward for individual self-interest, and since prestige and honors are more appropriate for community interest, these latter types of reward are relatively more important in professional than in nonprofessional behavior. The actual reward system in the professions tends to consist, therefore, in a combination of prestige and titles, medals, prizes, offices in professional societies, and so forth, together with sufficient monetary income for the style of life appropriate to the honor bestowed. Although the professions are not so well paid, on the whole, as equal-ranking business roles in American society, all studies show that the public ranks the professions at the top of the occupational prestige hierarchy and that professionals themselves are more satisfied with their work-rewards than are other occupational groups.*
>
> *Organizations that employ professionals can usually create opportunities for them to achieve professional rewards while still serving the primary needs of the organization. Among these professional facilities and rewards are the opportunities to participate in professional association meetings...to continue professional training through tuition subsidies and leaves of absence, to be a member of a strong professional group on the job itself....[18]*

5.6.2. Few NCOs would be likely to disagree with Barber's observation that as a profession we "are not so well paid." There are also other elements of this characteristic of professional behavior among the NCO corps. The phrase "rank has its privileges" is familiar to virtually all NCOs. This is really our way of describing the prestige we associate with progressing in our profession, particularly into the senior NCO grades. This

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[18] Barber, pp. 669-687.

is formalized through the identification of the intended role and use of senior NCOs.

5.6.3. As outlined in chapter 3 of this publication, senior NCOs are assigned only those duties commensurate with their skill level and status. Our primary roles include leader, supervisor, and manager of a flight, function, or activity. In this regard, we should be used as chief of a flight, section, or branch, superintendent of a division or unit, or, in special circumstances, as a detachment chief or commandant. Every consideration should be given to avoid oversupervision created by establishing unnecessary supervisory managerial levels. Proper use of senior NCOs is necessary to allow us to exercise leadership and manage resources under our control.

5.6.4. The role of senior NCOs also represents that element of a system of rewards Barber calls being "employed full time on strictly professional work." As senior NCOs we recognize, however, that mission requirements may necessitate that we fulfill other roles to ensure mission accomplishment. Our professionalism dictates that we carry out all duties and responsibilities on a timely basis, with a minimum of supervision.

5.6.5. NCOs also have numerous opportunities to participate in professional association meetings and to be members of a strong professional group on the job itself. Some of the organizations mentioned earlier--Enlisted PME Graduates Association, Top Three Association-- allow NCOs to participate in, as well as occupy, leadership positions in professional associations. The Air Force Sergeants' Association, the Noncommissioned Officers' Association, and the Air Force Association are also available avenues for participation in professional associations.

5.6.6. The opportunity "to continue professional training through tuition subsidies and leaves of absence" is available to NCOs. In addition to educational benefits provided by the GI Bill, the Veterans' Educational Assistance Program, and the Montgomery GI Bill, senior NCOs may also take advantage of tuition assistance while on active duty. Clearly, there is no shortage of financial resources for NCOs to continue their professional training. It is also possible to continue formal education while on a leave of absence through the Bootstrap Program. Many NCOs continue their professional training by attending various professional meetings and seminars, often funded by the Air Force and attended while on duty.

5.6.7. There are also the more obvious elements of the system of rewards such as individual awards and decorations, quarterly and annual unit recognition programs, as well as annual Air Force-level recognition programs such as the Twelve Outstanding Airmen of the Year program. This particular program is unique in that it

combines the elements of formal recognition with the opportunity to participate in professional associations. The NCOs and airmen selected as the Twelve Outstanding Airmen of the Year also serve as members of the Air Force Association's Enlisted Council during the year they are recognized.

5.6.8. As discussed, there is clearly a system of rewards within the enlisted corps. It is also important for NCOs to appreciate and appropriately recognize and reward those subordinates whose military conduct, bearing, and performance clearly exceed established standards. As we fulfill this responsibility, we will see this fourth attribute of professional behavior contribute to the professionalism of all enlisted personnel.

5.7. Conclusion:

5.7.1. By this point, we should have reached the conclusion that NCOs do demonstrate professional behavior as described by Barber. NCOs do have generalized and systematic knowledge, a community orientation, self-control of behavior, and a system of rewards. One might argue that Barber's model of professional behavior is conveniently used in this chapter to fit NCOs into a professional mold that would otherwise be inappropriate. There are scholars, some cited frequently in military literature, such as, Huntington and Janowitz, that argue NCOs are not professionals in the sense that officers are (Rocap, 1977).[19] This argument is the source of a great deal of frustration for many NCOs. Many believe this is also a faulty argument, as Lt Col John F. Shiner points out in the following excerpt from *The Military Professional in America*:

> *... there are others in the armed forces who meet the requirements for the title " military professional" ... NCOs from all career areas qualify if they have studied, continue to study, and are adept at the business of warfare; have adopted the services ethical standards as their own; and, having decided that they will accept the responsibility for the nation's defense, have committed their lives to that end. Thus, being a professional is based in part on military expertise, but it is also very much a psychological thing, depending in large part on the individual's personal commitment to devote his life to*

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[19] Rocap, P. W., Major, USAF. (1977) "The Unknown Professional Soldier," *Concepts for Air Force Leadership*, (1983), Maxwell AFB: Air University Press.

protecting the United States. Unfortunately, there are many combat officers among us who are not military professionals. Conversely, there are a number of NCOs and officer specialists who are. From the standpoint of national security, we need many more professionals from all three categories.[20]

5.7.2. As NCOs, we must conduct ourselves as professionals and avoid actions that would lead society to question our professional status. Whether NCOs can be professionals is not the real issue; the real issue is whether we *will* be professionals.

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[20] Shiner, The Military Professional in America.

Chapter 6

LEGAL ISSUES

6.1. Sources of Military Law. Military criminal law (military justice) is the branch of the law that regulates a government's military establishment. It is entirely penal or disciplinary in nature and, in the United States, includes and is analogous to civilian criminal law. Its sources are many and varied, some considerably antedating the United States and its Constitution. However, since it is through the Constitution that our Public Law began to exist, the Constitution can properly be considered the primary source of the law governing our military establishments. Along with the Constitution, there are other sources, both written and unwritten: International law has contributed the law of war and numerous treaties affecting the military establishment; Congress has contributed the Uniform Code of Military Justice (UCMJ) and other statutes; Executive orders, including the Manual for Courts-Martial (MCM); Service regulations; usages and customs of the Armed Forces and of war; and, finally, the court system has contributed its day-to-day decisions to clarify the gray areas. All of these make up our military law.

6.1.1. **The US Constitution.** The constitutional source of military law stems from two provisions: those vesting certain powers in the legislative branch and those granting certain authority to the executive branch. In addition, the fifth amendment recognizes that offenses in the Armed Forces will be dealt with in accordance with military law.

6.1.1.1. *Powers Granted to Congress.* Under Section 8 of Article I, US Constitution, Congress is empowered to: (1) define and punish offenses against the law of nations; (2) declare war, grant letters of marque and reprisal, and make rules concerning captures on land and water; (3) raise and support armies; (4) provide and maintain a navy; (5) make rules for the government and regulation of the land and naval forces; (6) provide for calling forth the militia; (7) provide for organizing, arming, and disciplining the militia and for governing such part of them as may be employed in the service of the United States; and (8) in general, to make all laws which shall be necessary and proper for carrying into execution the foregoing powers and all other powers vested by the Constitution in the Government of the United States or in any department or office thereof.

6.1.1.2. *Authority Vested in the President.* Under the Constitution, the President serves as Commander in Chief of the Armed Forces of the United States, and, when called to federal service, the President also serves as Commander in Chief of various state militias. The Constitution also empowers the President, with concurrence of the Senate, to appoint the officers of the Services. The President commissions all officers and has

the duty to see that the laws of this country are faithfully executed.

6.1.1.3. *The Fifth Amendment.* In the fifth amendment, the framers of the Constitution recognized that cases arising in the Military Services would be handled differently from cases arising in civilian life. The fifth amendment provides, in part, that "no person shall be held to answer for a capital, or otherwise infamous crime, unless on a presentment or indictment of a Grand Jury, except in cases arising in the land or naval forces, or in the Militia, when in actual service in time of War or public danger."

6.1.2. **International Law.** The law of armed conflict is the branch of international law that prescribes the rights and obligations of combatants, noncombatants, belligerents, and prisoners. It consists of those principles and usages that, in time of war, define the status and relations not only of enemies, but also of persons subject to military control.

6.1.3. **Acts of Congress.** The UCMJ is contained in Chapter 47, Title 10, United States Code, Sections 801 through 940. Although the authority to make rules and regulations for the Armed Forces is in the Constitution, military law is centuries old. The articles of the UCMJ define the offenses that violate military law in the Armed Forces of the United States and expose a military member to punishment if found guilty by a proper tribunal. They also set forth the broad procedural requirements implemented by the President's Executive order (the MCM). For the member, this code is as much a law of the land as a State or Federal criminal code is for a civilian.

6.1.4. **Executive Orders and Service Regulations:**

6.1.4.1. By virtue of his powers as Commander in Chief, the President has the power to promulgate Executive orders and Service regulations to govern the Armed Forces as long as they do not conflict with any basic constitutional or statutory provisions. Article 36, UCMJ, specifically authorizes the President to prescribe the procedure (including rules of evidence) to be followed before the various military tribunals. Pursuant to these executive powers, the President has established the MCM to implement the UCMJ. The President and Congress have authorized the Service secretaries and military commanders to implement various provisions of the UCMJ and the MCM and to promulgate orders and regulations.

6.1.4.2. Our courts have consistently held that Air Force

regulations (and this includes Air Force instructions) have the force and effect of the law if they are consistent with the Constitution or statutes. Regulations and orders issued at lower levels of command are enforceable by Article 92, UCMJ, which proscribes violations of general orders and regulations, and Articles 90 and 91, UCMJ, which prohibit disobedience of the commands of superiors.

6.1.5. **The Evolution of Military Justice.** Military justice is as old as the earliest organized forces. An adequate and fair system of military justice has always been essential to the maintenance of discipline and morale in any military command. Thus, the evolution of military justice has necessarily involved the balancing of two basic interests: war fighting and the desire for an efficient, but fair, system for maintaining good order and discipline.

6.1.6. **Uniform Code of Military Justice (UCMJ) (1951).** The desire for uniformity amongst the Services resulted in the enactment of the UCMJ, effective 31 May 1951. It was implemented by the Manual for Courts-Martial, 1951. The UCMJ established Service courts of military review, composed of appellate military judges, who were, and are, the first level of appeal in the military justice system. The UCMJ also established the US Court of Military Appeals (now known as the Court of Appeals for the Armed Forces (CAAF)), originally composed of three civilian judges, which is the highest level of appellate review within the military system. (The Court added two more civilian judges on 1 December 1991.) The creation of this appellate court structure was perhaps the most revolutionary change in military justice in our country's history. In this structure providing for appeal and review of court-martial convictions, the checks and balances of civilian control of the Armed Forces were carried over into the military justice system itself.

6.1.7. **1969 Manual for Courts-Martial (MCM).** After several years of preparation, a new MCM became effective on 1 January 1969. The primary purpose of the revision was to incorporate changes made necessary by the decisions of the US Court of Military Appeals. Less than a month after the President signed the Executive Order promulgating the new 1969 MCM, Congress passed the Military Justice Act of 1968, the major portion of which became effective 1 August 1969.

6.1.8. **The Military Justice Act of 1968.** Among the substantive changes made by the Military Justice Act of 1968 was the establishment of a trial judiciary, which consists of "circuit-riding" judges in each service. The act also allowed an accused the option of being tried by a military judge alone (no court members) if the member so requested in writing and if the request was approved by the military judge.

6.1.9. **The Military Justice Act of 1983.** Effective 1 August 1984, the Military Justice Act of 1983 made several procedural changes, including provisions for Government appeals of some rulings by military judges. The government may not, however, appeal findings of not guilty. The act also provides for both defense and Government appeals to the US Supreme Court from the US Court of Military Appeals.

6.1.10. **Trends.** The UCMJ today reflects centuries of experience in criminal law and military justice. The military justice system has evolved from one which permitted commanders to impose and carry out the death penalty to a system of justice which guarantees Service members rights and privileges similar to and, in some cases greater than, those enjoyed by their civilian counterparts.

6.2. Jurisdiction of Military Courts. Whether a civilian court has jurisdiction to decide a particular case depends upon several factors, including the status of the parties (age, legal residence, etc.), the type of legal issue involved (criminal or civil, contract dispute, tax delinquency, marital dispute, etc.), and geographical factors (crime committed in New York, contract dispute regarding Florida real estate, etc.). Court-martial jurisdiction is concerned primarily with the following two questions:

- Personal jurisdiction; that is, is the accused a person subject to the UCMJ?

- Subject-matter jurisdiction; that is, is the conduct proscribed by the UCMJ?

NOTE: If the answers are "yes" in both instances, then, and only then, does a court-martial panel have jurisdiction to decide the case.

6.2.1. **Personal Jurisdiction:**

6.2.1.1. Court-martial jurisdiction does not exist over a person unless he or she is subject to the UCMJ, as defined by Article 2, UCMJ. Article 2 states the following persons are among those subject to the UCMJ:

- Members of a regular component of the Armed Forces, including those awaiting discharge after expiration of their terms of enlistment; volunteers from the time of their muster or acceptance into the Armed Forces; inductees from the time of their actual induction into the Armed Forces; and other persons lawfully called or ordered into, or to duty in or for training in, the Armed Forces, from the dates when they are required by the terms of the call or order to obey it.

- Cadets, aviation cadets, and midshipmen.

- Members of a Reserve component while on inactive-duty training; but, in the case of members of the US Army National Guard and US Air National Guard, only when in Federal Service.

- Retired members of a Regular component of the Armed Forces entitled to pay.

6.2.1.2. Since the enactment of the UCMJ, the Supreme Court has held that the military cannot constitutionally exercise jurisdiction over civilian dependents of members of the Armed Forces. Additionally, the Court of Military Appeals has held that the military lacked jurisdiction over civilian employees of the Armed Forces during the Vietnam Conflict, even though the alleged crimes were committed within the combat zone. The court held that the phrase "in time of war" contained in Article 2(10), UCMJ, means a war formally declared by Congress.

6.2.2. **Subject-Matter Jurisdiction.** Generally, courts-martial have power to try any offense under the code except when prohibited from so doing by the constitution. Jurisdiction of courts-martial depends solely on the accused's status as a person subject to the UCMJ, and not on the "service-connection" of the offense charged. For example, a person subject to the UCMJ is caught shoplifting from a local merchant. The member could be tried by court-martial, even though the offense itself is not service-connected in a traditional sense.

6.3. The Adversary System:

6.3.1. **The Role of Counsel.** All criminal trials in the United States are adversarial; that is, each side has legal counsel who represents his or her side vigorously. The trial counsel (who serves as the prosecutor in trials by court-martial) and the defense counsel do not attempt to work out a joint presentation of an agreed view of the facts and issues. Each party presents the available evidence in a fashion that supports the most favorable view of the case for his or her own side. The underlying theory of the adversary system is that opposing counsels vigorously supporting opposing views of the case will find and present more in the way of useful evidence and argument for the consideration of the neutral finders of fact than will any other trial system. Neither the prosecution nor the defense is likely to reveal the facts of the entire case; but, when balanced and weighed together, their combined evidence produces a useful means to discover the truth.

6.3.1.1. *The Trial Counsel*. Trial counsels, like prosecutors in a civilian criminal trial, are responsible for presentation of the case against the accused. They present such evidence as they have in support of the charges, defend the credibility of prosecution witnesses, and argue to the court the inferences which most strongly support the

charges. Trial counsels are expected to present evidence and arguments to counteract defenses raised on behalf of the accused. They vigorously and forcefully seek to persuade the court that the accused committed the alleged offenses.

6.3.1.2. *The Defense Counsel.* The defense counsel just as vigorously and forcefully seeks to persuade the court to find the accused not guilty. Defense counsel may raise issues and defenses to avoid a finding of guilty, impugn the motives or veracity of Government agents, advise the accused not to cooperate in revealing facts that would tend to incriminate the accused, or argue forcefully that laws, regulations, or policies are invalid.

6.3.1.3. *Ethical Standards.* Listed below are some of the detailed ethical standards that must be honored by both the trial counsel and the defense counsel:

- Counsel may not present testimony known to be perjured or other evidence known to be false.

- Counsel may not intentionally misrepresent any piece of evidence or matter of law.

- Counsel may not unnecessarily delay or prolong the proceedings.

- Counsel may not obstruct communications between prospective witnesses and counsel for the other side.

- Counsel may not use illegal means or condone the use of illegal means in the obtaining of evidence.

- Counsel may not inject his or her own personal opinions or beliefs into arguments to the court.

- Counsel will not attempt appeals to passion or prejudice. These are prohibited.

- Counsel may not attempt to influence court members by currying favor or communicating privately with them.

NOTE: The trial counsel has an affirmative duty to disclose to the defense any evidence that tends to negate the accused's guilt or have a mitigating effect on the degree of guilt.

6.3.1.4. *Counsel Representation.* The accused in a trial by court-martial is entitled to military counsel, free of charge. The accused may also hire a civilian lawyer at the accused's own expense. An accused may request a particular military lawyer if he or she so desires; and, if the officer requested is reasonably available, he or she will serve. If no counsel is specifically requested, military counsel will be detailed to represent the accused. Such

counsel must be a judge advocate who, in addition to being a graduate of an accredited law school and a member of the bar of a Federal court or the highest court of a State, has been certified to perform defense counsel duties by The Judge Advocate General of his or her Service.

6.3.1.5. *Violation of Fundamental Rights.* On occasion, commanders or supervisors may be irritated when, as they view it, someone they believe is guilty of an offense gets off on a technicality. Such reactions are understandable, just as are those of the general public when a person who has confessed to a heinous crime avoids conviction and punishment because, for example, the confession was obtained in violation of the Constitution or other laws. Acquittals or the reversal of the convictions of persons who have violated the law do occur, and properly so, when there has been some action by the Government that violates fundamental rights protected by Public Law or the Constitution. In addition to the often-cited principle that it is better for a hundred guilty people to go free than to convict one innocent person, the potential risk to a free society which would be created by condoning state actions that violate basic freedoms is obvious. When defense counsels point out such violations, they are doing what our law requires, even if a guilty accused is acquitted of the charges.

6.3.2. **Action of the Convening Authority:**

6.3.2.1. Following announcement of the sentence in a court-martial case, the results are promptly reported to the convening authority. The convening authority, as a matter of command prerogative, has the authority to take a broad range of actions. As to the findings, the convening authority may dismiss any or all charges and specifications against an accused or reduce a finding of guilty to a lesser included offense. As to the sentence, the convening authority may approve, disapprove, or suspend the sentence in whole or in part.

6.3.2.2. Before taking any action, however, the convening authority must give the accused an opportunity to submit matters for the convening authority's consideration. Typically, an accused will present personal or family matters to the convening authority that would justify sentence reduction. However, the accused could also present matters showing legal errors at trial or lack of guilt. Additionally, the convening authority must consider the written recommendations of the staff judge advocate before taking action (Article 60, UCMJ).

6.4. **Appellate Review:**

6.4.1. Following the action of the convening authority, the level of appellate review of the case will depend primarily upon the severity of the sentence adjudged and

the desires of the accused. In all cases not extending to death, the accused may waive certain of his or her appellate rights; however, the accused must take affirmative steps to do so.

6.4.2. If the sentence as approved by the convening authority extends to death, dismissal, dishonorable or bad-conduct discharge, or confinement for 1 year or more, the accused may have his or her case reviewed by the respective Service's Court of Criminal Appeals (CCA) (formerly the Court of Military Review (COMR)). The Air Force Court of Criminal Appeals (AFCCA) is an appellate court consisting of at least three judges who are judge advocates. Before this forum, the accused is provided military counsel without cost (the accused may also be represented by civilian appellate defense counsel at the accused's own expense), and the Government is represented by appellate Government counsel. The AFCCA will review the accused's case for legal errors. The court has the power to grant relief to an accused by dismissing the case, reducing the sentence, or ordering a rehearing.

6.4.3. Following an adverse decision of the AFCCA, an accused may request review by the Court of Appeals for the Armed Forces (CAAF) (formerly Court of Military Appeals (COMA)). The CAAF consists of five civilian judges appointed by the President (Article 66, UCMJ). The CAAF must review cases that include the death penalty and any other case directed by The Judge Advocate General (TJAG) of each Service. Additionally, the CAAF may grant a review to an accused who has had his or her case reviewed by the AFCCA and who files a petition requesting review of alleged legal errors. However, the CAAF grants this further review in only about 10 percent of the cases (Article 67, UCMJ).

6.4.4. If an accused's case is reviewed by the CAAF, he or she may petition the US Supreme Court for further review (Article 67a, UCMJ). At least four justices must vote to hear the case for it to be considered.

6.4.5. In all other general court-martial cases (those not extending to death, dismissal, dishonorable or bad-conduct discharge, or confinement for 1 year or more) in which the accused has not waived appellate rights, the case is forwarded to TJAG for further review and action. TJAG may modify or set aside the findings or sentence or may direct review by the AFCCA (Article 69, UCMJ).

6.4.6. In all other courts-martial cases (special court-martial in which a bad-conduct discharge was not adjudged and summary court-martial) and those in which the accused has waived his or her appellate rights, a judge advocate will review the case. If the judge advocate recommends corrective action be taken and the convening authority refuses to take such action, the case will be

referred to TJAG for review. If the convening authority approves the findings and recommendations according to the recommendations made by the judge advocate, no further review is required (Article 64, UCMJ).

6.4.7. The Secretary of the Air Force automatically reviews cases involving dismissal of an Air Force officer or cadet. That portion of the sentence relating to dismissal cannot be executed until the Secretary, or appointed designee, approves the sentence (Article 67, UCMJ).

6.4.8. If the sentence of a court-martial extends to death, that part of the sentence providing for death may not be executed until approved by the President. In such a case, the President may commute, remit, or suspend any portion of the sentence. Additionally, the President has executive clemency powers over all courts-martial cases (Article 71, UCMJ).

6.5. The Punitive Articles of the UCMJ. Punitive articles are listed below:

- 77. Principals.

- 78. Accessory after the fact.

- 79. Conviction of lesser included offense.

- 80. Attempts.

- 81. Conspiracy.

- 82. Solicitation.

- 83. Fraudulent enlistment, appointment, or separation.

- 84. Unlawful enlistment, appointment, or separation.

- 85. Desertion.

- 86. Absence without leave.

- 87. Missing movement.

- 88. Contempt toward officials.
- 89. Disrespect toward superior commissioned officer.

- 90. Assaulting or willfully disobeying superior commissioned officer.

- 91. Insubordinate conduct toward warrant officer, noncommissioned officer, or petty officer.

- 92. Failure to obey order or regulation.

- 93. Cruelty and maltreatment.

- 94. Mutiny or sedition.

- 95. Resistance, breach of arrest, and escape.

- 96. Releasing prisoner without proper authority.

- 97. Unlawful detention.

- 98. Noncompliance with procedural rules.

- 99. Misbehavior before the enemy.

- 100. Subordinate compelling surrender.

- 101. Improper use of countersign.

- 102. Forcing a safeguard.

- 103. Captured or abandoned property.

- 104. Aiding the enemy.

- 105. Misconduct as prisoner.

- 106. Spies.

- 107. False official statements.

- 108. Military property of United States—loss, damage, destruction, or wrongful disposition.

- 109. Property other than military property of United States—waste, spoilage, or destruction.

- 110. Improper hazarding of vessel.

- 111. Drunken or reckless driving.

- 112. Drunk on duty.

- 112a. Wrongful use, possession, etc., of controlled substances.

- 113. Misbehavior of sentinel.

- 114. Dueling.

- 115. Malingering.

- 116. Riot or breach of peace.

- 117. Provoking speeches or gestures.

- 118. Murder.

- 119. Manslaughter.

- 120. Rape and carnal knowledge.

- 121. Larceny and wrongful appropriation.

- 122. Robbery.

- 123. Forgery.

- 123a. Making, drawing, or uttering check, draft, or order without sufficient funds.

- 124. Maiming.

- 125. Sodomy.

- 126. Arson.

- 127. Extortion.

- 128. Assault.

- 129. Burglary.

- 130. Housebreaking.

- 131. Perjury.

- 132. Frauds against the United States.

- 133. Conduct unbecoming an officer and a gentleman.

- 134. General article.

6.6. Offenses Military in Nature. In this section, we will discuss offenses which are primarily military in nature. By this we mean that the interests the offenses seek to protect are ones of primary concern to the military establishment. Most of the offenses in this section have no counterpart in civilian law.

6.6.1. **Absence Offenses.** For an armed force to be effective, it must have a sufficient number of its members present to carry out the mission. This can be accomplished only by deterring the members from being absent without authority, whether the absences are permanent or temporary. Because these are the most prevalent of all military offenses, their enforcement is essential to an effective force. The circumstances under which they occur, as well as the intent which accompanies the absence, determine the severity with which they are treated. The offenses considered here are desertion and absence without leave (AWOL).

6.6.1.1. **Desertion.** Desertion, as proscribed by Article 85, UCMJ, regards absences which may occur under the following three general categories: (1) unauthorized absences coupled with the intent to remain away permanently, (2) quitting to avoid hazardous duty or shirk important service, and (3) desertion by an officer before notice of acceptance of resignation. (The US Court of Military Appeals has held that Article 85(a)(3), UCMJ, does not state a separate offense.) Desertion is the most serious of the absence offenses. We will briefly discuss the first category of desertion, which is the most prevalent. These offenses are considered capital offenses (authorizing the death penalty) during wartime. Termination of the absence by apprehension is an aggravating factor authorizing more severe punishment than a peacetime desertion terminated by voluntary surrender.

- ***Absences with Intent To Remain Away Permanently.*** As suggested by the title, this type of desertion is basically an AWOL accompanied by a specific intent. The unauthorized absence may be from the accused's place of duty or service or from the accused's organization. The specific intent involved is that of remaining away permanently, which might exist at the inception of the absence or be formed at any time during the absence. Thus, when a member goes AWOL, intending to remain in such status only 2 days, but during such an absence, changes his or her mind and decides never to return to active duty, the member has, at that time (when he or she changed his or her decision), committed the offense of desertion, even if the person subsequently changes his or her mind and turns himself or herself into military authorities. Quite obviously, proving the member's intent in such cases would be difficult. Some of the more important factors that enter into the determination of intent are the length of the absence, use of an alias during such an absence, retention of military identification and clothing items, concealment of military status, or the assumption of a permanent-type civilian status or employment. Even if the accused returns to military control voluntarily, this does not necessarily provide him or her with a defense to desertion. The essential issue to be determined by the court is whether it is convinced beyond a reasonable doubt that at some time during the unauthorized absence the accused formed the intent to remain away from his or her organization permanently.

6.6.1.2. ***Absence Without Leave (AWOL).*** There are three basic types of AWOL proscribed by Article 86, UCMJ, which discussed below. Aggravating circumstances, which authorize more severe punishments, might arise when there is an intent to abandon such duties and where there is an intent to avoid maneuvers or field exercises.

6.6.1.2.1. ***Failure To Go to Appointed Place of Duty.*** This offense requires that the accused actually knew of the appointed time and place of duty. It must be established, of course, that the accused was required to be at the appointed place at the prescribed time. No specific intent is required.

6.6.1.2.2. ***Going from Appointed Place of Duty.*** The elements of this type of unauthorized absence are the same as the failure-to-go type, except it must be established that the accused left the place of duty without proper authority, rather than failed to report in the first place. The accused must have reported for and entered upon the duty, before the time he or she left without proper authority.

6.6.1.2.3. ***Absent from Unit, Organization, or Other Place of Duty:***

- Absence without authority from one's unit, organization, or other place of duty is a common circumstance giving rise to an absence charge. Key considerations are the inception and duration of the unauthorized absence. Circumstances beyond the control of the accused usually must be shown to establish a valid defense. For example, if Sergeant Jane Doe's authorized 10-day period of leave expired on 1 December and she failed to sign back in with her unit by 2 December, Sergeant Doe would not be guilty of AWOL if she could establish being at a distant city and had purchased an airline ticket on a flight that was canceled due to a blizzard.

- The authorized maximum punishment for this offense varies with the duration of the absence. The most severe sentence is a dishonorable discharge and confinement for 18 months. This sentence may be imposed when the unauthorized absence exceeds 30 days and was terminated by apprehension.

6.6.2.   False Official Statements:
6.6.2.1. Both the making of false official statements and the signing of false official documents are offenses within the purview of Article 107, UCMJ. This offense can be committed by either signing a false document or making a false verbal statement, so long as the document or statement is official. Official documents and statements include all documents or statements made in the line of duty. "In the line of duty" in this context does not refer solely to a Service member's assigned duties, but to any matter within the jurisdiction of any department or agency of the United States. For a document or statement to be official, it must be concerned with a governmental function and made to a person who, in receiving it, is discharging the functions of his or her office. Thus, falsely identifying oneself to a base gate guard or falsely listing a person as one's dependent to gain base privileges would constitute violations of this article. An expectation of material gain is not an element of the offense.

6.6.2.2. Regarding the mental element of this offense, the accused must have had knowledge that the document or statement was indeed false and must have had a specific intent to deceive in making the document or statement.

6.6.3.   General Article. The General Article (Article 134) is typical of the catch-all articles historically included in military criminal codes to cover unspecified offenses punishable because of their effect on the Armed Forces. Although critics of the military justice system contend that such articles are unconstitutionally vague, the courts have consistently held that the General Article is not void for vagueness. The General Article encompasses three broad categories of offenses: (1) disorders and neglects prejudicial to good order and discipline, (2) conduct of a nature to bring discredit upon the Armed Forces; and (3) crimes and offenses not capital. What follows is a review of the rationale behind each of these categories, citing additional examples of the applications of the three clauses.

6.6.3.1. ***Disorders and Neglects Prejudicial to Good Order and Discipline.*** Here the issue is solely the effect of an accused's wrongful act on the good order and discipline of the Armed Forces. Article 134 seeks to protect the internal operation of the Armed Forces. If good order or discipline, upon which effective mission performance depends, is directly prejudiced, the article is violated. Examples of this type of offense are breaches of restriction, fraternization, impersonating an officer, disorderly conduct, gambling with a subordinate, and incapacitating oneself for duty through prior indulgence in intoxicating liquors.

6.6.3.2. ***Conduct of a Nature To Bring Discredit Upon the Armed Forces.*** Under this category, we are concerned with the effect of the accused's wrongful act on the reputation of the Armed Forces. This category looks outward to the protection of the external relationships of the Armed Forces with the civilian sector. Thus, violations of local law may be punished if they bring discredit upon the Armed Forces. To be a violation of this clause, the conduct must tend to bring the Service into disrepute or tend to lower it in public esteem. Proof of actual discredit is not required. Examples of offenses under this clause of the General Article are bigamy, adultery, dishonorable failure to pay debts, leaving the scene of an accident,

pandering, and indecent exposure.

6.6.3.3. *Crimes and Offenses Not Capital.* Some acts or omissions are not punishable under other articles of the UCMJ, yet they are crimes or offenses under Federal statutes. The third clause of Article 134 makes such violations of Federal law punishable by courts-martial when the accused is a person subject to the UCMJ. Some state laws may be punishable under this clause if they can be adopted by virtue of the "Federal Assimilative Crimes Act" (Title 18, United States Code, Section 13).

6.6.4. **Offenses Related to War.** A broad range of wartime activity is encompassed by the articles of the UCMJ. They deal with misbehavior before the enemy, compelling surrender, improper uses of countersigns, forcing safeguards, mishandling captured or abandoned property, misconduct as a prisoner of war (POW), and disloyal statements. The Korean "police action" gave rise to the first necessity of invoking many of these provisions of the new UCMJ. The below paragraphs discuss a few of these offenses.

6.6.4.1. *Misbehavior Before the Enemy.* The most critical aspect of human conduct in the prosecution of a war, or combat of any type, is an individual's behavior before, or in the face of, the enemy. Article 99 is designed to encompass most, if not all, of these types of offenses. Two of the most common types of misbehavior before the enemy are running away before the enemy and cowardly conduct, discussed below. All offenses under Article 99 are capital (that is, they are punishable by death).

6.6.4.1.1. *Running Away Before the Enemy.* The term "enemy" includes both the organized forces of the enemy in time of war and any hostile body that our forces may be opposing, such as a rebellious mob or a band of renegades. The term includes civilians as well as members of military organizations; "enemy" is not restricted to the enemy government or its armed forces. The offense is analogous to desertion or AWOL, but it occurs under more serious conditions. If the act was caused by fear, the offense should be charged as cowardice, rather than under this section of the article. Whether a person is "before the enemy" is not a question of definite distance, but one of tactical relation.

6.6.4.1.2. *Cowardly Conduct.* The critical element in this offense is fear, which results in the abandonment or refusal to perform one's duty. Fear is a natural feeling of apprehension when going into battle, and the mere display of apprehension does not constitute this offense. Cowardice is misbehavior motivated by fear. Genuine or extreme illness or other disability at the time of the alleged misbehavior may be a defense to a charge under this section.

6.6.4.2. *Misconduct as a Prisoner of War (POW):*

6.6.4.2.1. No military subject has stirred more public interest than the problem of standards of conduct for POWs. The UCMJ, Article 105, recognizes two types of offenses which arise in POW situations. This recognition stems from abuse to members of our Armed Forces that occurred while they were prisoners of the enemy during World War II. One type of offense deals with unauthorized conduct by an accused for the purpose of securing favorable treatment for himself or herself to the detriment of other prisoners. The other type of offense prohibits the maltreatment of prisoners, without justifiable cause, by one placed in authority over them. This article seeks to protect all persons held as prisoners by the enemy, whether they be military or civilian, and regardless of nationality.

6.6.4.2.2. The result of the post-Korean Conflict debates was the issuance of Executive Order 10631 in 1955 by President Dwight D. Eisenhower, establishing a "Code of Conduct" for members of the armed forces of the United States. It was hoped that a Code of Conduct would be a useful standard of conduct and an aid in applying the provisions of Article 105. The 1968 incident involving the capture of the *USS Pueblo* and its crew by the North Koreans, however, cast considerable doubt on the practical utility of the Code of Conduct as a firm standard. The POWs' experience of the Vietnam Conflict did much to confirm the trend of thought that, considering the modern and inhuman techniques of torture and interrogation used by some of our enemies, each instance of alleged misconduct as a POW will have to be analyzed on a case-by-case basis rather than attempting to apply a uniform standard of conduct. This led to a revision of the Code of Conduct in 1977.

6.7. Insubordination, Disobedience, and Legality of Orders:

6.7.1. **Insubordination.** Insubordinate conduct may be expressed in many different ways and toward many different persons in the military community. By its nature, the seriousness of the offense is judged both by the means used to demonstrate this disrespect and the relative relationship in the military hierarchy of the parties involved.

6.7.1.1. *Commissioned Officers.* The UCMJ seeks to discourage behavior or acts that detract from the respect due the authority and person of a superior officer. The phrase "superior commissioned officer" includes not only the commanding officer of the accused, whatever the grade of the two, but any other commissioned officer of the same armed force as the accused who is superior in grade or command to the accused. A commissioned officer of another armed force who is superior in the chain of command over the accused is a "superior

commissioned officer," but an officer of another armed force would not be a superior officer merely because he is superior in grade to the accused. Disrespectful acts or behavior toward an officer of another armed force who is not superior in the accused's chain of command may, however, violate Article 133 or 134. This definition of a "superior commissioned officer" applies to Articles 89 and 90. Matters encompassed by these articles are disrespectful behavior toward a superior officer and willful disobedience of a superior officer.

6.7.1.1.1. *Disrespect Toward a Superior Officer.* Article 89 prohibits disrespectful acts or language used toward a superior commissioned officer in his or her capacity as an officer or as a private individual. Thus, an officer's status is protected whether he or she is in the execution of his or her office at the moment. It is not necessary that the disrespectful behavior be in the presence of the superior; however, ordinarily one should not be held responsible for what was said or done in a purely private conversation. To establish this offense, the accused must have known that the person toward whom the words or acts were directed was his or her superior officer. Drunkenness, therefore, is often raised as a defense. Here are two examples of Article 89, UCMJ, offenses:

- The Air Force Court of Military Review (AFCMR) affirmed an airman's conviction for being disrespectful toward a superior commissioned officer by saying to her, "Hi, sweetheart." The AFCMR said there were no "extraordinary circumstances" tending to negate the implied sexist familiarity preferred by the enlisted member to his superior commissioned officer.

- The AFCMR affirmed an airman basic's conviction for being disrespectful by making vile, obscene, and defamatory statements about her squadron section commander. These statements were made during a phone call by the accused to her orderly room—a call placed by the accused to report that she would not be present for duty on time. The AFCMR concluded that the call was not a private conversation; both the accused and the member who received the call were performing military duties.

6.7.1.2. *Striking or Assaulting a Superior Officer.* The criminal acts prohibited by Article 90(1) are assaults and batteries against superior commissioned officers in the execution of their duties. Officers are in execution of their duties when they are engaged in any act or service they are required to do or authorized to do by statutes, regulations, orders, or customs. As in the disrespect offense, knowledge that such people are superior officers is an essential element. This is a capital offense in time of war. However, officers, by their behavior, might forfeit the protection accorded their status. Here is an example of

Article 90(1), UCMJ, offense:

- *Facts:* The accused, a Marine Corps private, rejected his squadron commander's offer of nonjudicial punishment for a 7-day AWOL. As a result, he was called to the squadron commander's office for a conference. Since the accused appeared to be smiling when he entered the office, the commander asked him, "What's so funny goofy?" The accused reported in a military manner. Thereafter, he remained at attention while the commander examined his service record book. At one point, the accused asked permission to speak, but the commander told him, "speak when I tell you to." The commander then advised the accused of his rights and proceeded to question him about his civilian background and his attitude toward the Marine Corps. In the course of the questioning, the commander charged the accused with not being a man and asserted he was a coward with a two-foot streak of yellow down his back. Finally, he asked the accused to tell him "what...he would like?" The accused answered that he would "like to see the Marine Corps flat on its back with its heels in the air." The commander regarded that comment as an affront and admitted that it made him mad. He arose hurriedly, went around his desk at a faster than normal walk, and approached the accused and said he represented the Marine Corps, "let's see you put me on my back." The accused took the statement as a "challenge from one man to another and if I was sincere in what I said, I should hit him." The accused turned from his position of attention and struck his commander. He was later convicted of assault upon a superior commissioned officer in the execution of his office, in violation of Article 90, UCMJ.

- *Held:* Conviction reversed. The CAAF determined that the commander, by words and action, abandoned his position and his rank. The accused's response to the words and the conduct did not, as a matter of law, detract from the authority and the person of the commander, as a commander or as a commissioned officer. The findings of guilty, therefore, were not sustained as a violation of Article 90.

6.7.2. **Disobedience Offenses:**

6.7.2.1. *Disobeying a Superior Officer:*

6.7.2.1.1. The offense proscribed by Article 90(2) prohibits the intentional or willful disobedience of the lawful orders of a superior officer. Its gravity lies in the fact that such disobedience is an intentional defiance of superior authority, as opposed to a mere failure to obey through neglect (which is treated under Article 92). The former carries a maximum punishment of a dishonorable discharge and confinement for 5 years; the latter a bad

conduct discharge and confinement for 6 months.

6.7.2.1.2. The order must relate to military duty, which includes all activities reasonably necessary to accomplish a military mission or to safeguard or promote the morale, discipline, and usefulness of members of a command, and is directly connected with the maintenance of good order and discipline. An order is inferred to be lawful, and a member disobeys it at his or her own peril.

6.7.2.2. *Insubordination and Disobedience Involving an NCO.* To ensure obedience to their lawful orders and to protect them from violence, insult, and disrespect, Article 91 offers NCOs the same protections granted commissioned officers by Articles 89 and 90. However, unlike Articles 89 and 90, this article does not require a superior-subordinate relation as an element of any of the proscribed offenses, and Article 91 offenses can only be committed by enlisted members. Two other differences from the superior officer offenses are noted in the case of assault or disrespectful behavior under this article: (1) The disrespect must have occurred within the sight or hearing of the NCO; and (2) The NCO must have been in the execution of his or her office at the time. As in the case of other offenses of this type, the accused's knowledge of the order and the status of the NCO must be clearly established. Here are two examples of Article 91, UCMJ, offenses:

- The CAAF affirmed the conviction of a Marine Corps private who told a superior NCO, "if you have something to say about me, say it to my face." The court found that it was a rebuke directed toward the NCO.

- The Air Force Court of Military Review (AFCMR) found that the accused's statement to correctional custody supervisors (both NCOs) that, "if you are going to separate me, I wish you would hurry it up because I'm tired of this crap," was not inherently disrespectful. The AFCMR found it significant that the statement was not made toward the NCOs themselves, and that the word "crap" was a "rhetorical remark not directed at anyone."

6.7.2.3. *Failure to Obey Lawful Orders or Regulations.* Article 92 contemplates violations of, or failures to obey, two broad categories of orders: (1) lawful general orders or regulations, and (2) other lawful orders or regulations.

6.7.2.3.1. *Lawful General Orders or Regulations.* This offense relates only to violations or failures to obey general orders or regulations. General orders or regulations may be issued only by the President, the Secretary of Defense, the Secretary of a military department, an officer having general court-martial jurisdiction, a general officer in command, or by a commander superior to one of the above. Squadron commanders clearly do not have the authority to issue general orders. A general order or regulation issued by an above described commander retains its character as a general order or regulation until it expires or is rescinded by separate action. This is true even if the command is subsequently assumed by other than a general officer. Aside from the severe punitive consequences, the significance of this offense is that knowledge of the order is not an element of the offense. Note, however, that not all provisions in general orders or regulations can be enforced under Article 92(1). The provisions must be "punitive," that is, the regulations or orders must specifically state that a member may be punished under the UCMJ for a violation of its terms. Regulations which only supply general guidelines or advice for conducting military functions may not be enforceable under Article 92(1).

6.7.2.3.2. *Other Lawful Orders or Regulations:*

- This offense encompasses failures to obey other than general orders. These failures are not chargeable under Article 90 or 91, either because the person issuing the order was neither a commissioned officer nor an NCO as required under these articles or because the disobedience was not willful. The offense includes violations of written regulations which are not general regulations. The key requirements are that the accused had a duty to obey the order and that he or she had actual knowledge of the order. The order or regulation must have been issued by a member of the Armed Forces. Failure to obey the order of a security police officer is properly charged under this section, regardless of the relative grade of the parties involved.

- Note that this offense requires actual knowledge of the order on the part of the accused, unlike the offense of disobeying a general order or regulation. Such knowledge is usually proven through circumstantial evidence. Accused members cannot be convicted of this offense merely because they should have known about the order or because their ignorance of the order was the result of their own negligence.

6.7.2.3.3. *Dereliction of Duty:*

- Dereliction of duty, under Article 92(3), is the least serious disobedience offense punishable under the UCMJ. There are three elements of this offense: (1) that the accused had certain duties; (2) that the accused knew, or reasonably should have known, of the duties; and (3) that the accused was derelict in performing the duties, either by willfully failing to carry them out, or by carrying the duties out in a

negligent or culpably inefficient manner. The dereliction may be willful (that is, done intentionally) with full knowledge of the assigned duties; negligent, resulting from a lack of ordinary care; or the result of culpable inefficiency, which is inefficiency for which there is no reasonable or just excuse.

- A duty may be imposed by treaty, statute, regulation, lawful order, standard operating procedure, or custom of the service. Article 92(3) covers offenses not chargeable under Article 92(1) and (2), or other articles.

- Mere ineptitude in the performance of duty will not support a charge of dereliction of duty. Officer or enlisted members cannot be punished for inadequate performance of duty if they made a good faith effort to perform but fell short because of a lack of aptitude or ability. Such malfeasance may be grounds for administrative demotion or administrative discharge, but it is not a crime.

- A duty imposed by custom of the Service could be enforced under Article 92(3). Further, disobeying the "orders" or directions of a civilian supervisor could form the basis of an Article 92(3) offense; whereas, Article 92(2) only applies to orders issued by a member of the Armed Forces.

6.7.3. **Legality of Orders.** A fundamental principle of military law is that an accused cannot be punished for disobeying or failing to obey an unlawful order. Obviously, an order is unlawful if it is forbidden by the Constitution or an act of Congress. An order must relate to military duty, which includes all activities reasonably necessary to accomplish a military mission, or to safeguard or promote the morale, discipline, and usefulness of members of a command and is directly connected with the maintenance of good order in the service. The order may not, without a valid military purpose, interfere with private rights or personal affairs. The following discussion highlights several areas in which the legality of orders is frequently raised.

6.7.3.1. *Payment of a Private Debt.* It has long been held that a military superior has no authority to order a subordinate to pay a private debt because this invades the function of civil authorities. Since debts owed to the Federal Government are not private debts, they are simply collected out of the military debtor's pay. Note, however, that while a military member cannot be ordered to pay a private debt, dishonorable failure to pay a just debt is a military offense which can be punished by a court-martial, and financial irresponsibility is a ground for administrative discharge from the Armed Forces. The Armed Forces, therefore, generally require that, if a creditor complains about a Service member's failure to

pay a debt, the member's commander counsels him or her about the possible criminal and administrative consequences of dishonorable failure to pay a lawful debt.

6.7.3.2. *Orders for a Purely Private Purpose.* Other long-recognized categories of illegal orders are those given purely for the private benefit of the officer giving the order, or for anyone else's private benefit or enjoyment, because such orders have no connection to any Government interest.

6.7.3.2.1. *Punitive Orders:*

- Contrary to popular opinion, a military superior has no inherent authority to order the punishment of a subordinate. The Constitution clearly gives the power to "make Rules for the Government and Regulation of the land and naval forces" to the Congress, not the executive branch. A military officer may, therefore, give an order for the purpose of punishing a subordinate only if the officer is acting according to an act of Congress, such as the UCMJ. At present, the UCMJ authorizes commanders to order punishment only if they are lawfully executing the sentence of a court-martial or they are acting under the nonjudicial punishment authority of Article 15.

- Similarly, Service members cannot be punished for violating orders given solely to subject them to greater punishment. For example, if an accused has already disobeyed the order of an NCO, he or she cannot be given the same order by a commissioned officer solely to subject the member to greater punishment, if the officer knows that the subsequent order will also be disobeyed.

6.7.3.3. *Training Orders.* An order given for the purpose of training is lawful and must be obeyed. However, where the order is in response to some dereliction of duty, there must be a reasonable connection between the subject of the training and the actions the individual is ordered to take.

6.7.3.4. *Self-Incriminatory Orders.* Any order that requires members to violate their privilege against self-incrimination is unlawful.

6.7.3.5. *Orders Imposing Administrative Restriction.* Restriction to specified limits is an authorized punishment when imposed by a court-martial or under Article 15. Restriction is also used as a form of restraint pending trial for Service members under court-martial charges. In addition to these forms of restriction connected with the military justice system, commanders may administratively restrict personnel under their command for specific reasons, including administrative hold or for medical reasons.

6.7.3.6. *Overbroad Orders.* The situations studied so far have all been relatively clearcut: either a sufficient connection between morale, discipline, or military usefulness exists, and the order is lawful; or the relation is insufficient, and the order is illegal. However, even if an order is sufficiently connected to a legitimate military purpose, it may still be held to be unlawful if it is overbroad; that is, if it goes beyond what is reasonably necessary to protect morale, discipline, or usefulness and imposes an arbitrary restriction on a Service member's private rights. Whether a particular order or regulation is overbroad is, then, a question of degree. Fortunately, some guidelines have been laid down in a few of the more common areas of dispute.

6.7.3.6.1. *Automobiles:*

- The commander's power to regulate motor vehicles owned by those under his or her authority has only rarely been the basis of a court-martial, but questions as to the legal scope of this power have frequently been referred to TJAG of the Armed Forces. The foundations of this area of military law are a series of opinions of TJAG of the Army in the 1920's and 1930's. These opinions established a base commander had the power to require privately owned vehicles operated on the base be registered with military police authorities and that such registration could be conditioned upon compliance with "reasonable requirements as to identification and safety," including the purchase of liability insurance. At the same time, it was held that a commander had no authority to flatly forbid all enlisted members below a certain pay grade from owning a car or bringing it onto the base. This limitation was evidently imposed in the name of safety because younger, lower ranking personnel generally have more auto accidents than older personnel. TJAG found that this restriction was overbroad, going far beyond what the interest of the commander in the safety of his or her unit reasonably required.

- These old rulings are still generally good law today, though changing conditions and technology have caused the principles in them to change somewhat, especially in the interests of increased safety. Thus, all three Services now require that those driving on military installations give consent for blood-alcohol tests if they are suspected of drunk driving on base. Drivers may have their base driving privileges revoked if they refuse.

- This is obviously an area where change can be quite rapid. As recently as 1969, TJAG of the Air Force ruled that a commander did not have authority to order airmen to have seatbelts in their cars. Within only a few years, as public acceptance of seatbelts

increased, the attitude of the Service changed, and today Air Force personnel are required to wear seatbelts in vehicles used on and off base. Command regulation of motor vehicles may conflict not only with the individual service member's private rights, but also with the Federal Government's interest in maintaining cordial relations with state and foreign governments. For example, a commander has no general authority to set speed limits for members of his or her command outside of the limits of the base, either in the United States or overseas because setting speed limits is primarily the responsibility of the local civilian government.

6.7.3.6.2. *Marriage.* At the time of the American Revolution, soldiers in the British Army were not allowed to marry without the permission of their regimental commander. This practice was continued in the infant US Army, and vestigial remains of it continue in effect today, chiefly in the form of regulations which limit the right of US military personnel to marry overseas. The main purpose of these regulations is to protect morale by discouraging Service members from entering into ill-considered marriages to aliens whom the US Immigration and Naturalization Service would not allow to enter the United States for medical, moral, or political reasons. One can well imagine the impact on morale when Service members learn that their spouses will not be allowed to enter the United States. On the other hand, the commander must not unduly restrict Service members' private rights to marry.

6.7.3.6.3. *Use of Alcohol.* The use and abuse of alcoholic beverages are clearly related to the health, morale, and usefulness of a military organization and are, therefore, proper subjects of command control. The commander of an Air Force installation has the authority and responsibility to regulate the use, possession, and sale of alcohol on the installation. The commander's power is not absolute, as he or she must control and supervise alcoholic beverages to meet the varying conditions and requirements of military service, while at the same time not discriminate against individuals in the Armed Forces by denying them the rights and privileges of other citizens. If sufficiently related to morale, discipline, and usefulness of the command, the commander can regulate the use of alcohol by off-duty personnel, even outside of the base. For example, certain areas and establishments, including those serving alcohol, can be declared off limits to military personnel.

6.7.3.7. *Orders in Combat Situations.* So far, our discussion of the lawfulness of orders has chiefly involved peacetime situations. The main limitation on the legality of orders in combat is imposed by the law of armed conflict, which is considered an integral part of American military law.

6.7.4. **The Inference of Legality.** The MCM states that "an order requiring the performance of a military duty or act may be inferred to be lawful and is disobeyed at the peril of the subordinate." In a disobedience case, the prosecution is not required to produce evidence of the lawfulness of the order. If accused members wish to contest the legality of an order, they must produce some evidence sufficient to raise the issue, just as with any other affirmative defense. Once sufficient evidence is introduced to raise the issue of legality, then the inference of lawfulness will, in the words of one author, "melt away before the heat of contrary evidence," and the prosecution will have to produce sufficient evidence to show the order's legality beyond a reasonable doubt.

6.8. Administrative Law:

6.8.1. **Reports of Survey.** The commander may appoint you to investigate the loss, damage, or destruction of public property. The information which follows will not make you an expert on report of survey proceedings; however, it will help you to grasp the basic policies and procedures involved. AFMAN 23-220, *Reports of Survey for Air Force Property,* identifies the accounting and reporting procedures for lost, damaged, or destroyed Government property. The responsible official will prepare a DD Form 200, **Report of Survey for Air Force Property**. Reports of survey are used by the Air Force to assess financial liability when Air Force accountable property is lost, damaged, or destroyed; to provide relief from financial liability when there is no evidence of negligence, willful misconduct, or deliberate unauthorized use; to authorize adjustments of property accountability records; and to prescribe corrective action to prevent recurrence of loss, destruction, or damage of Air Force property.

6.8.1.1. *When To Do a Report of Survey:*

6.8.1.1.1. The Air Force must complete a report of survey, with some exceptions, for all accountable property lost, damaged, or destroyed. The accountable property can be real or personal. Air Force real property includes buildings and items attached to them, such as air-conditioners and compressors. Personal property is anything that is not real property, such as parkas, tools, desks, typewriters, equipment, and vehicles.

6.8.1.1.2. A report of survey is not necessary when:

- The individual responsible for the loss or damage makes voluntary payment.

- Loss, damage, or destruction of property is $500 or less. However, this policy does not prevent the initiation of a report of survey when the loss is less than $500, there is evidence of negligence, or there is a systematic loss of property by the same individual over a period of time.

- Investigation of the loss, damage, or destruction of a vehicle indicates that there is no evidence of gross negligence, willful misconduct, or deliberate unauthorized use. The commander may take action against individuals in these cases using punitive or administrative options.

6.8.1.2. *Initiating Reports of Survey:*

6.8.1.2.1. The general rule is: the organization possessing the lost or damaged property is responsible for initiating the report of survey. Depending on the organizational structure, the commander, as the responsible official, normally submits the report of survey. Commanders remain responsible for initiating the report of survey, even if the property is deployed or issued on a hand receipt outside their organizations.

6.8.1.2.2. The commander starts the proceedings by appointing a disinterested officer, NCO (SSgt or above), or a civilian (GS-7 or above) as the initial investigating official. Under no circumstance does the commander appoint the individual responsible for the accountability, custodianship, care, or safeguarding of the lost or damaged property as the investigating official. The investigation must begin as soon as possible, following discovery of the loss or damage, to ensure all concerned persons are available and the facts are still clear in their minds.

6.8.1.3. *Report of Survey Investigation:*

6.8.1.3.1. As the initial investigating official, you are responsible for documenting important facts and circumstances surrounding the loss, damage, or destruction of property. Investigations made by the Office of Special Investigations, special or technical survey teams, or other personnel (security police, fire investigators, and ground safety officers) are useful in making proper determinations of responsibility and financial liability. Evidence of responsibility for management of Government property includes properly documented and itemized inventories, copies of documents that confirm acquisition or movement of property, and certificates of transfer of responsible or accountable personnel. You will use this information to determine if the loss, damage, or destruction was the effect of willful misconduct, deliberate unauthorized use, or negligence. As the investigating official, you will make a recommendation on whether an individual should be held financially liable for the loss or damage.

6.8.1.3.2. A DD Form 200 will be the basis for the

investigation and will determine liability. If the investigation of the report of survey under AFMAN 23-220 does not uncover any evidence of negligence, willful misconduct, or deliberate unauthorized use, all individuals concerned will be relieved of financial responsibility. The report of survey will be used to adjust property records and document all corrective actions required to prevent future loss, damage, or destruction to public property.

6.8.1.3.3. If an individual admits responsibility for loss, damage, or destruction of public property entrusted in his or her care, pecuniary charges will be assessed against the individual for payment. Pecuniary charges will also be assessed if an individual is found guilty of gross negligence, willful misconduct, or deliberate unauthorized use by a survey board or the finding of a DD Form 200. When pecuniary liability is admitted and the loss does not exceed $500, relief from responsibility may be obtained by processing DD Form 362, **Statement of Charges for Government Property Lost, Damaged, or Destroyed**; or DD Form 1131, **Cash Collection Voucher**. When the dollar value exceeds $500, DD Form 200 will be initiated according to AFMAN 23-220.
6.8.1.3.4. Assessment of financial liability must not be used instead, or as a form, of disciplinary action. Commanders decide if disciplinary action is taken under the UCMJ, regardless of whether financial liability was assessed.

6.8.1.4. *Processing and Finalizing the Report of Survey:*

6.8.1.4.1. After you have finished your investigation, forward the findings to the responsible officer who will process the survey to the report of survey program manager who will ensure the report is properly completed. The findings of the investigating officer will be sent to the person found liable for review and comment before it is sent to the approving authority.

6.8.1.4.2. When an individual is found to be financially liable by the report of survey proceedings, the approving authority will notify the individual in writing of the type and amount of the debt. The individual has 30 days to appeal the decision. If remittance is not received within 30 days from the date the Air Force member is notified of the financial liability and if no appeal is submitted, the approving authority will send a completed copy of the DD Form 200 to the financial services officer for involuntary collection action.

6.8.2. **Line of Duty (LOD) and Misconduct Determinations.** Members on active duty accrue many rights and benefits which may continue for them or their families if they are injured, become ill, or die on active duty. To be eligible for these benefits, some Federal laws require that the injury, disease, or death occur in the line of duty and not result from the member's misconduct. The

LOD and misconduct determinations are used by the Air Force in deciding whether any benefits are affected. AFI 36-2910, *Line of Duty (Misconduct) Determination*, establishes the procedures for LOD and misconduct determinations. Generally, an LOD or misconduct determination is required when a member, whether hospitalized or not, has a disease or injury which results in: (1) the inability to do military duties for more than 24 hours; (2) a likelihood of a permanent disability; or (3) results in death and there are surviving dependents. There are four possible LOD and misconduct determinations:

6.8.2.1. *In LOD.* A member's disease, injury, or death is incurred while the member is present for duty and is not caused by the member's misconduct.

6.8.2.2. *Existed Prior to Service, LOD Not Applicable.* A member's disease or injury, or the underlying condition which caused the disease or injury or the member's death, existed before the member entered military service and was not aggravated by military service.

6.8.2.3. *Not in LOD, Not Due to Own Misconduct.* A member's injury, disease, or death is incurred while the member is absent without authority and the injury or death was not caused by the member's misconduct.

6.8.2.4. *Not in LOD, Due to Own Misconduct.* A member's injury, disease, or death is incurred as a result of the member's misconduct, regardless of whether the member was absent with or without authority (duty status does not matter because an injury caused by the member's misconduct will always be not in LOD).

6.8.2.4.1. Determinations other than in LOD may affect the member's or survivor's eligibility for benefits and subject the member to forfeit pay or to make good any lost time.

6.8.2.4.2. Final LOD and misconduct determinations are made administratively or informally when it is clear that the member was not absent without authority, the disease or injury was not due to the member's misconduct, and a formal investigation is not needed to protect the interests of the member or the United States.

6.8.2.4.3. If these issues are not clear, a formal determination supported by a formal investigation is required. A final determination that an injury, illness, or death was incurred "not in LOD--due to own misconduct" or "not in LOD--not due to own misconduct" must be a formal determination (neither may be made administratively or informally).

6.8.2.4.4. Although Air Force determinations are not binding upon other government agencies, such as the Department of Veterans Affairs or the Office of Personnel

Management, determinations made by other agencies generally agree with Air Force findings because they are based on the same evidence. For this reason, LOD and misconduct determinations and their supporting evidence play an important role in decisions regarding disability and retirement compensation, lost time to be made good, forfeiture of pay, hospitalization benefits after separation, and veterans' preferences.

6.9. The Law of Armed Conflict (LOAC):

6.9.1. **Program Requirements.** DoD Directive 5100.77, *DoD Law of War Program*, requires each military department to design a program to ensure the LOAC is observed, violations of the LOAC do not occur, alleged violations of the LOAC are promptly reported, and all personnel receive the LOAC training. The Army, Navy, and Marine Corps refer to LOAC as the Law of War (LOW). In the military of the United States, LOAC and LOW are the same. Other countries have signed international agreements the United States has not signed. Therefore, the rules and treaties our Allies and coalition partners have agreed to may be slightly different from ours.

6.9.2. **Training Requirements.** AFI 51-401, *Training and Reporting To Ensure Compliance with the Law of Armed Conflict*, requires all Air Force personnel be instructed in the principles and rules of the LOAC commensurate with each member's duties and responsibilities. This training requirement includes all members of the Air Force Reserve and Air National Guard. The training should be of a general nature; however, unique groups (e.g., security police, aircrews, medical personnel, etc.) should receive additional, specialized training that addresses the unique issues they may encounter.

6.9.3. **Sources of the LOAC:**

6.9.3.1. There are two primary sources for determining the LOAC. The first source is customary international law, which covers how nations and combatants have treated one another during past wars and armed conflicts. The traditional rules that govern the conduct of war and armed conflict are found in customary international law. The United States respects and follows customary international law. The second source of materials for determining the LOAC is conventional international law, which arises from treaties, conventions, and other international agreements entered into by, but binding only upon, those nationals or international organizations that sign them. Such documents may restate provisions of customary international law that are binding on all nations or they may contain new provisions. The new provisions may develop into rules of customary international law if, after they enter into force, nations are found to have

customarily used and relied upon them during war or armed conflict.

6.9.3.2. Article VI of the US Constitution states treaty obligations of the United States are the "supreme law of the land," and the Supreme Court has held that international law is part of US law. In other words, treaties and agreements the United States has entered into have the same effect as a law passed by Congress and the President. Accordingly, all US citizens and noncitizens subject to US law are obligated to observe the LOAC. In particular, military personnel must consider the LOAC in both the planning and execution of all actions that use or may involve use of, violence or armed force. Military personnel must be aware that personnel who violate the LOAC may be criminally liable under the UCMJ and may be held criminally liable by national or international tribunals formed to try war crimes.

6.9.4. **Principles of the LOAC in Aerial Warfare:**

6.9.4.1. There are two primary principles of the LOAC that govern the conduct of aerial warfare. Both are prohibitive in nature. (These principles and other guidance on the LOAC are projected to be in AFPAM 51-710, *International Law - The Conduct of Armed Conflict and Air Operations.*) The first is the principle of "military necessity" which limits a combatant's use of force. This principle: (1) permits a combatant to apply only that degree of regulated force necessary to obtain the prompt submission of the enemy; (2) limits the use of such force to those not otherwise prohibited by international law; and (3) requires the combatant to do so with the least possible expenditure of life and physical resources. The practical effect of this rule is that the means available for inflicting destruction, injury, or death upon an enemy are not unlimited.

6.9.4.2. The LOAC on military necessity is primarily contained in the treaties developed at the Hague Peace Conferences of 1899 and 1907. These conferences developed rules to govern the application of force and the legality of weapons. DoD Instruction 5000.1, *Defense Acquisition,* and AFI 51-402, *Weapons Review*, require the Air Force to perform a legal review on all weapons and weapons systems that are intended to meet a military requirement. The purpose of the legal review is to ensure the United States complies with its international obligations, especially those relating to the LOAC. The legal review helps military planners ensure Air Force personnel do not employ weapons or weapons systems that violate international law.

6.9.4.3. The second primary principle of the LOAC is referred to as the principle of humanity. It is also referred to as the rule against unnecessary suffering or the rule of proportionality. This principle prohibits the use of any

kind, or degree, of force that exceeds that amount of force necessary to attain the military objective. On the basis of this principle, weapons such as poison bullets, expanding ammunition, and glass fragmentation devices have also been proscribed.

6.9.4.4. The Geneva Conventions of 1949 consist of four separate international treaties which are the primary sources of humanitarian law in the LOAC. Their purpose is to reduce unnecessary suffering during war and protect noncombatants. They also seek to distinguish between lawful combatants, unlawful combatants, and noncombatants and to protect private property. The four treaties govern the treatment of the following categories of personnel during war or armed conflict: wounded and sick personnel on land; wounded, sick, and shipwrecked personnel at sea; POWs; and civilians.

6.9.4.5. A combatant is anyone who engages in hostile acts in armed conflict on behalf of a party to the conflict. The Geneva Conventions distinguish between lawful and unlawful combatants and noncombatants. A lawful combatant is an individual authorized by governmental authority or the LOAC to engage in hostilities. A lawful combatant must wear a distinctive uniform or risk being tried as a war criminal. A lawful combatant may be a member of a regular armed force or an irregular force. In either case, the force must be commanded by a person responsible for subordinates; have fixed distinctive emblems recognizable at a distance; carry arms openly; and conduct its operations according to the LOAC. The LOAC permits lawful combatants to engage in war or armed conflict.

6.9.4.6. Unlawful combatants are individuals not authorized by governmental authority or accepted international law to engage in hostilities. The category of unlawful combatants includes those individuals who engage in hostilities, but who do not qualify as combatants. For example, brigands who rob and plunder and civilians who attack a downed airman are unlawful combatants. Unlawful combatants who engage in hostilities violate the LOAC. Such unlawful combatants are lawful targets. They may be killed or wounded and, if captured, may be tried as war criminals for violation of the LOAC.

6.9.4.7. Noncombatants are individuals who do not engage in hostilities and are not authorized by governmental authority or the LOAC to engage in hostilities. The category of noncombatants includes civilians accompanying the Armed Forces and certain military personnel who are members of the Armed Forces but who do not engage in combat, such as medical personnel and chaplains. Noncombatants may not be made the object of direct attack or taken hostage. They may, however, suffer injury or death incidental to an attack on a military objective without violating the LOAC.

6.9.4.8. Should doubt exist as to whether an individual is a lawful combatant, an unlawful combatant, or a noncombatant, such person shall be extended the protections of the Geneva Prisoner of War Convention until the appropriate status can be ascertained. The capturing nation is required to convene a competent tribunal to determine the person's status.

6.9.5. **Aerial Warfare and the LOAC:**

6.9.5.1. The LOAC governs the conduct of aerial warfare. The principle of military necessity limits aerial attacks to military objectives. Military objectives are those objectives that by their own nature, locations, purpose, or use make an effective contribution to an enemy's military capability and whose total or partial destruction, capture, or neutralization in the circumstances existing at the time of an attack, offer a definite military advantage.

6.9.5.2. The LOAC protects the civilian population. Destroying cities, towns, or villages not justified by military necessity is forbidden. Attacking noncombatants (sometimes referred to generally as civilians) for the sole purpose of terrorizing them is also prohibited. Although civilians may not be made the object of direct attack, the LOAC recognizes that a military target need not be spared because its destruction may cause incidental death or injury to civilians or damage to civilian property.

6.9.5.3. The rule of proportionality, encompassed in the LOAC principle of humanity, is the standard by which military planners must balance the attack of military objectives against the protection of the civilian population. Planners of military operations must take into consideration the extent of civilian destruction and probable casualties that will result from an attack on a military objective and, to the extent consistent with military necessity, seek to avoid civilian casualties and destruction. Anticipated civilian losses must be proportionate to the military advantages sought. Judge advocate, intelligence, and operations personnel play a critical role in determining the propriety of a target and the appropriate weapon system, if any, to be utilized under the particular circumstances.

6.9.5.4. The LOAC specifically describes targets against which aerial bombardment is illegal. Proscribed targets include: medical units or establishments; transports of wounded and sick personnel; military and civilian hospital ships; safety zones established under the Geneva Conventions; religious, cultural, and charitable buildings, monuments, and the like (however, if these are used for military purposes they lose their immunity); and POW camps.

6.9.6. **Air-to-Air Combat and the LOAC:**

6.9.6.1. The basic LOAC rule on air-to-air combat states that enemy military aircraft may be attacked and destroyed if the aircraft is not in neutral airspace. An attack on enemy military aircraft must be discontinued if the aircraft is *clearly* disabled *and* unable to continue military operations. Airmen parachuting from a disabled aircraft and offering no resistance may not be attacked; airmen who continue to resist or are downed behind their own lines and who are not *hors de combat* (out of conflict) may be subject to attack. The Rules of Engagement (ROE) for the particular operation or mission contain the definition of who or what is to be considered an enemy force and who is an ally or friendly force.

6.9.6.2. Public and private enemy nonmilitary aircraft are not generally subject to attack because the LOAC protects noncombatants from direct attack. There are, however, at least five exceptional conditions that may lead to such aircraft being lawfully attacked. The aircraft may be considered an immediate military threat and attacked if it initiates the attack; disregards signals or warnings to land or proceed to a designated place; is detected approaching a military base at high speeds and contact cannot be made with the aircraft in sufficient time to divert it from its course; is in the immediate vicinity of military operations; or is within the jurisdiction of the enemy or in the immediate vicinity thereof and outside the jurisdiction of its own state.

6.9.6.3. As noted in AFPAM 51-710, since World War II, nations have increasingly recognized the necessity to avoid attacking civil aircraft.

6.9.6.4. Enemy medical aircraft are not generally subject to attack under the LOAC. There are, however, at least six exceptions that might lead to the aircraft being lawfully attacked. Enemy medical aircraft might be attacked and destroyed if such aircraft initiates the attack; is not exclusively employed as a medical aircraft; does not bear a clearly marked Red Cross, Red Crescent, or other recognized symbol; does not fly at heights and times, and on routes specifically agreed to by the parties to the conflict; flies over enemy or enemy-occupied territory (unless otherwise agreed upon by the parties); or disregards a summons to land.

6.9.7. **Enforcing the Application of the LOAC Rules:**

6.9.7.1. A military force that violates the LOAC subjects its leaders and members who violate the LOAC to criminal liability and prosecution. Individuals in a force that otherwise observes the LOAC may subject themselves to criminal liability and prosecution if they violate the LOAC. Such criminal prosecutions may take place in a national or an international forum. A national prosecution may be in a courts-martial under the UCMJ. Prosecutions may also take place in an international military tribunal such as those used in Nuremberg and Tokyo after World War II for War Crimes trials. The defense of, "I was only following orders," has generally *not* been accepted by national or international tribunals as a defense in trials of war crimes. In other words, an individual normally assumes responsibility for his or her actions and is assumed to know the laws of war and to be cognizant when he or she are in violation of those rules.

6.9.7.2. Prosecution in a court of law may not be available if the enemy violating the LOAC is still engaging in war or armed conflict. Accordingly, the LOAC permits combatants to engage in acts of reprisal to enforce an enemy force's compliance with the LOAC. Reprisals are acts of retaliation for violations of the LOAC which would otherwise be unlawful. Acts of reprisal may *only* be authorized by the highest levels of command. Units in the field *will not* conduct acts of reprisal without the proper approval and authorization. When employed, reprisals must be in response to an unlawful act; done for the purpose of compelling another party to the conflict to observe the LOAC; a last resort when other means have been exhausted; done only under the orders of a commander and after consultation with the highest available military authority that time permits; committed against enemy personnel or property; proportional to the original wrong; and publicized.

6.9.7.3. Reprisals are forbidden when the conditions above are not met. Reprisals are also prohibited if directed against POWs; wounded, sick, and shipwrecked persons at sea; civilian persons and their property; or religious or cultural property.

6.9.7.4. AFI 51-401 contains guidance for Air Force personnel to handle an incident in which a violation of the LOAC may have occurred. Members of the Air Force who have knowledge of, or receive a report of, an apparent violation of the LOAC must make the incident known to their commanders. This includes violations by US forces, its Allies, or the enemy. If the commander is, or may be involved, the report should be made to the next higher command authority. The particular circumstances and availability of certain units may require that the report be made to the nearest judge advocate, a special agent in the office of special investigations (OSI), a chaplain, or a security police member.

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Chapter 7

LEADERSHIP

7.1. Introduction:

7.1.1. A major responsibility of senior noncommissioned officers (NCO) is to ensure the mission is properly accomplished. By inspiring trust and loyalty, supervisors direct the talents of people toward achieving a desired goal. Senior NCOs go even further--they must motivate others to lead as well as follow.

7.1.2. Before reading and studying this chapter, you, the senior NCO, should read chapter 12 in AFPAM 36-2241, *Promotion Fitness Examination (PFE) Study Guide,* volume 1, which discusses leadership traits, principles, methods, and styles. This chapter builds on your understanding of volume 1. It includes information on leadership styles, situational approaches to leadership, evaluating subordinates, and taking corrective action.

7.2. Leadership Styles:

7.2.1. Developing future supervisors is one of your most important responsibilities. Our junior NCOs need to realize people have different values, beliefs, and habits; what motivates one person will not necessarily motivate another. If you adopt a flexible leadership style, you can respond to differing mission needs to maximize productivity. Continued reliance on one leadership style can hamper your effectiveness as you move into greater areas of responsibility. As young supervisors mature, they often need to broaden their style base to enhance their leader effectiveness. You can help them accomplish this by being a strong role model.

7.2.2. Effective role models lead by example and display a sense of confidence, enthusiasm, and commitment. They set personal goals, work with their people to jointly set mission goals, and together work toward these goals. Generally, people want to work hard and do a good job for you and the Air Force. If you are enthusiastic about your mission and your people, your enthusiasm will be contagious and will improve your own leadership effectiveness as well as inspire young supervisors. Remember, people will work best and be more cooperative when they understand what is expected of them and why their participation is necessary.

7.2.3. In a speech to the Tactical Air Command NCO Academy, General Larry D. Welch, former Chief of Staff of the Air Force, said:

> *"Leadership is what gets things done. It's not rules--although they are important. It's not management-- although that's important. It's getting a team effort focused on common, reasonably attainable, worthwhile objectives. It's ensuring the wherewithal for our people to attain those objectives. It's inspiring people to do more than they thought they could based on the simple but vital assumption that the Air Force is by and large made up of bright, dedicated, patriotic people."*

7.2.4. Encouraging young supervisors also requires some public relations. Subordinates in successful group operations should receive credit for what they do. Show your enthusiasm by publicizing the accomplishments of your subordinates as a group and as individuals. You will be repaid many times over for the efforts you put forth.

7.2.5. Communication skills also play an important role in creating an atmosphere of cooperative effort and development. Efficient use of personnel demands communication, coordination, and cooperation. Accordingly, encourage your subordinates to develop two-way communication aimed at understanding and acceptance through conscious application of the principle of feedback. An effective leader is proficient in group interaction, which is one of the most difficult forms of communication to develop. Strive to demonstrate your own constructive attitude at all times. Your demonstration of effective communication techniques will help your supervisors to expand their leadership capabilities.

7.3. Situational Approach to Leadership:

7.3.1. The situational approach to leadership is based on the idea that a leader must analyze each situation and choose the appropriate action to accomplish the mission. Different actions are appropriate in different situations. The leader achieves proper consistency and flexibility by asking: "What must I do in this situation to best lead my people?" Authorities on leadership agree there is no one pattern or style that continually produces successful results. Consequently, the situational approach to leadership focuses on the ability to adapt leadership styles to differing situations. Kenneth H. Blanchard has continued the development of the situational theory, which you read about in volume 1, to encompass these various situations.

7.3.2. According to Blanchard, several situational variables influence which leadership style will be appropriate in a given situation. These variables include

time, job demands, organizational climate, and the skills and expectations of superiors, peers, and subordinates. There are three critical qualities and some other things you and your supervisors can use to reinforce style flexibility: understand yourself; evaluate conditions and situations; and diagnose and act.

7.3.2.1. *First Critical Quality: Understand Yourself.* You must have and maintain an accurate self-concept--you must understand yourself. Everyone has different strengths, weaknesses, capabilities, and limitations. To be effective, you must know and use your strengths. You must also minimize your weaknesses. For example, many supervisors perform superbly in their duty environments and communicate effectively to small groups. However, they may not always communicate effectively to larger audiences. Such individuals should develop their communication skills. Like them, you must honestly evaluate your strengths and weaknesses. Constantly look ahead to evaluate how well qualified, capable, and ready you are for future opportunities. Build a strategy to convert weaknesses to strengths so you can be ready to capitalize on all opportunities.

7.3.2.2. *Second Critical Quality: Evaluate Conditions and Situations.* It is not enough to just know your strengths and weaknesses. A supervisor must also be able to evaluate different conditions and situations that are a challenge to leadership. Most circumstances involve people, material resources, and time. Unfortunately, these elements do not always work together or toward the same goal. When problems occur, you must be able to quickly pinpoint critical elements and separate them from those that are noncritical. Always work to identify the causes and the consequences of a particular situation. Try to remain objective. Do not let personal biases, prejudices, or assumptions distort your perception and thinking. Usually, if your problem diagnosis is accurate, your response and problem resolution will be accurate as well. For example, sometimes it is easy to evaluate changes in the work environment, such as those occurring when a member is absent due to leave, temporary duty, or illness. Such absences normally require you to modify work loads and responsibilities to compensate for the member's absence. Yet, some supervisors attempt "business as usual" with little or no consideration for the absent member's impact on work factors. Perhaps harder to recognize in the work environment are those outside personal distractions that diminish or totally disintegrate team effort. In either case, the successful supervisor must be able to recognize the different conditions present, assess the problem, and act decisively with the appropriate leadership style.

7.3.2.3. *Third Critical Quality: Diagnose and Act:*

7.3.2.3.1. Time permitting, it is often helpful to objectively and critically think through the consequences of your decision before taking any action. For example, does your answer or response support the mission of your unit or squadron? What effect will your decision have on subordinates and coworkers? Will your decision make the best use of people and material? What will be the long-term effect of the decision? Finally, which leadership style would be most effective given the situation and people involved?

7.3.2.3.2. Applying the proper leadership style is basic to the situational approach. Also, what works with one subordinate may not work with another. Each worker is different and has a distinct level of commitment toward, and competence in, achieving work center objectives. According to Blanchard:

> *Commitment is a combination of confidence and motivation. Confidence is a measure of a person's self-assuredness--a feeling of being able to do a task well without much supervision, whereas motivation is a person's interest and enthusiasm in doing a task. Competence is a measure of a person's knowledge and skills related to the task at hand.*

7.3.2.3.3. Thus, to be an effective supervisor, Blanchard states you must consider the commitment and competence levels of your subordinates in relation to the task at hand and vary your leadership style accordingly. Consider four specific situations:

- *Low Competence--High Commitment.* New airmen or civilian workers are often eager and committed to learning their jobs, but they are usually not competent at this point. An effective leader will provide these individuals with clear and specific directions and close supervision. You need to tell them what, how, when, and where to do their various jobs. Even an experienced worker can be in this category if the job changes or a task is added.

- *Some Competence--Low Commitment.* Some subordinates are partially competent, yet lack full commitment to their jobs. You may find workers who have retrained into a new specialty looking for a more exciting, challenging job, but who are not fully committed to the new job. An effective leader will provide these individuals direction and support (direction to help them become competent, and support to build confidence and enthusiasm). The leader's directive behavior addresses the follower's lack of competence in particular tasks.

- *High Competence--Low Commitment.* Other

subordinates are competent, but sometimes apprehensive. This can be especially true for inexperienced supervisors who may fluctuate between feeling effective and ineffective. You need to support and encourage these individuals by expressing a belief in their ability to get the job done. In this case, the leader's supportive behavior addresses the follower's lack of commitment.

- *High Competence--High Commitment.* Then there are the subordinates who are both competent and committed to their jobs. They know what to do and are enthusiastic about doing it. These are the individuals you task to develop or implement new procedures, informing you only on their progress. You delegate projects or jobs to these individuals and let them make the decisions that will ensure task accomplishment. Low supportive and low directive behavior is appropriate because followers are both committed to and competent on the task. By knowing the competence and commitment levels of your subordinates and encouraging your supervisors to be equally knowledgeable of their workers, you will advance your own leadership ability and produce stronger leaders for the future.

7.4. Evaluating Subordinates:

7.4.1. On the day you became a supervisor, the Air Force formally tasked you to evaluate others. You should continually evaluate your workers, discuss those evaluations with them, and assist them in correcting any shortcomings. It is your responsibility to recognize performance and activities that exceed standards or expectations. Evaluation should not be a hit-or-miss activity, but should be a planned, systematic procedure. How many times have you evaluated your workers without mentioning or documenting it?

7.4.2. There are many types of evaluations you should perform. AFI 36-2403, *The Enlisted Evaluation System (EES)*, explains in depth the evaluation process for writing an enlisted performance report and performance feedback worksheet. It is just as important to record other evaluations, such as a worker's progress in upgrade or qualification training, self-development, compliance with standards, and suitability for promotion and recognition. Recording these evaluations properly will be beneficial to you when you conduct performance feedback sessions.

7.4.3. Remember to document all counseling sessions, goals, and objectives, and provide a copy to the worker to ensure there is no misinterpretation of what took place or what you expect. When you evaluate your workers, you need to keep three things in mind. First, because you are responsible for the development of workers, you should determine subordinates' strengths and weaknesses.

Second, keep the established standards clearly in mind. Third, reward appropriate behavior and correct inappropriate behavior.

7.4.4. Consider a worker's present performance in terms of experience, education, and personal characteristics. You and the worker should mutually determine if the worker requires further training and establish goals and objectives to improve performance. The worker must clearly know the performance requirements and be able to meet the established standards. You should program future meetings at specific intervals to review the worker's accomplishments and to revise, if needed, the goals and objectives originally established. You may decide to transfer the worker into another position; however, keep in mind job rotation is designed to keep your people trained, not unqualified.

7.5. Taking Corrective Action:

7.5.1. Disciplinary action may be preventive, corrective, or punitive. Normally, NCOs are responsible for preventive and corrective actions, while making recommendations to the commander who takes punitive actions for violations of the UCMJ. In situations such as tardiness, failure to meet schedules, and violations of standards of bearing and behavior, take fair and firm action.

7.5.2. Ensure subordinates know the standards expected of them, what constitutes a violation of these standards, and what corrective actions you will take in the event of violations. Avoid letting little things snowball into bigger problems, eventually requiring the involvement of the first sergeant or the commander. Take the initiative to help your people.

7.5.3. Normally, early corrective action will help a subordinate's career. The purpose of the corrective action is to ensure acceptable behavior in the future. The failure to take action appears to condone the behavior and can lead to an atmosphere conducive to further problems.

7.5.4. Gather all the facts before you take corrective action. Talk with your subordinates and carefully consider the pertinent circumstances that led to the problem. Then consider other facts: (1) Is this the first time corrective action has been needed or is it a repeat offense? (2) Is the action you are considering consistent and fair with similar actions you have taken? Your subordinates should clearly understand what they did wrong and how to avoid future problems.

7.5.5. Remember, to be an effective supervisor you must adjust your approach as the situation dictates. Pursue an active program to further develop flexibility in your leadership style and assist young supervisors to expand

theirs. To do this, use the principles and techniques you have learned through your development as a professional

Air Force senior NCO.

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Chapter 8

STAFF-LEVEL COMMUNICATION

8.1. Introduction. Every Air Force member who is familiar with the in- and out-baskets knows clear communication is essential to efficient military operations. To a greater degree than you may realize, skill in communication is essential to being an effective manager and leader. Effective communication should be the concern of every NCO. It is also important to remember Air Force communication can be complex due to the technical nature of some jobs. Therefore, we must communicate as clearly and concisely as we can—focusing on our audience's or reader's current knowledge. For example, instructors must be able to communicate effectively to ensure students understand the subject being taught. Regardless of the type of job, everyone must communicate to some degree. Communication plays a major role in our lives, our jobs, and our contacts with others. You should make every attempt to improve your communicative abilities. AFPAM 36-2241, volume 1, *Promotion Fitness Examination (PFE) Study Guide*, discusses skills basic to the communication process—speaking, listening, writing, and reading. This chapter focuses on facilitating spoken communication via organizing and chairing a conference and facilitating written communication via the staff summary sheet, bullet background paper, short note reply, trip report, staff study report, and the military résumé.

8.2. Facilitating Spoken Communication:

8.2.1. **Organizing and Chairing a Conference.** The conference is an efficient method of investigating problems, answering questions, and achieving understanding. This section first reviews the purpose of conferences and then outlines how to prepare for and conduct them. *NOTE:* Although we use the word "conference" throughout, we are also referring to meetings, group sessions, and workshops.

8.2.2. **Purpose of a Conference.** Conferences may be used to inform, to solve problems, or to negotiate agreements. The best way to understand the differences between these types of conferences is to look at examples of each.

8.2.2.1. *Informative Conference.* An informative conference is basically a teaching situation. For example, if new equipment is delivered to your section, you must ensure your subordinates are informed of it and they understand how it operates. In this situation, an informative conference would be ideal for meeting your requirements. It would be more effective to meet with the workers involved to discuss the new equipment and the way it will affect them rather than to simply brief them

about the equipment. The informative conference is also useful in discussing different topics. If this type of conference is to be successful, however, each member of the group must have background knowledge of the topic or of related subjects before the conference begins.

8.2.2.2. *Problem-Solving Conference.* Through the problem-solving conference, Air Force leaders seeking a solution to a problem can profit from the knowledge and experience of the experts in their organization. For example, if your section is consistently late in meeting commitments, you have a problem that affects the entire unit. Therefore, you need to call a conference of the key personnel to help you solve the problem. When group members try to solve problems, they must think together about how they can best achieve their common goal.

8.2.2.3. *Negotiation Conference.* The objective of the negotiation conference is to find a solution acceptable to all sides. When a situation has two or more incompatible solutions, points of view, or approaches and no one can or will make the decision as to which to use, then a negotiation conference may be useful. The monthly maintenance and operations meeting for aircraft scheduling is a typical negotiation conference. In this instance, the maintenance section may be trying to hold its work load at an ideal level, but the operations section needs the aircraft to meet its training and operational requirements. Experience shows better working relationships develop between these sections when they discuss and negotiate a mutually acceptable compromise. The Air Force conducts much of its business, wins many of its arguments, and gains much of its support through negotiation conferences.

8.2.3. **Preparing to Lead a Conference:**

8.2.3.1. The first thing to do in preparing for a conference is to analyze the purpose of the conference. Whether the purpose is to inform, solve a problem, or negotiate agreements, you must become familiar with the topic and plan the conference accordingly. When running a conference for someone of a higher grade, follow the general guidelines you receive to ensure all arrangements are made properly.

8.2.3.2. Second, consider the date and place of the conference. Select a date that will not conflict with other scheduled activities. It is important to locate and reserve a facility large enough to accommodate the number of people you plan to invite. Doing this well in advance will ensure the facility's availability. Also, consider the availability of temporary quarters for those attendees

coming from out of town. Using Government quarters reduces the cost to the Air Force; you should reserve them when possible.

8.2.3.3. Third, send a notice to the units or sections to be represented at the conference. Include an agenda and give the place, date, time, length, and purpose of the conference. Request the names, grades, and positions of individuals attending. Also include billeting information if necessary.

8.2.3.4. Fourth, you need to have some knowledge of the members' educational backgrounds to determine the level at which you should direct the discussion. Keep in mind your goals. If a decision is to be made, invite the person with the influence or authority to make the decision.

8.2.3.5. Fifth, construct a discussion plan. The discussion plan is an expansion of the agenda and is your personal assurance the specific purpose of the conference is accomplished. Prepare an introduction or request a key member to make an introduction that will get the conferees' attention and motivate them. This introduction should include an overview of the topics to be discussed during the conference. Also, prepare a list of questions to stimulate discussion and keep the conferees moving in the direction of attaining the conference's goals. If possible, anticipate areas needing research and include necessary research material in your discussion plan.

8.2.3.6. Sixth, prepare the conference site. Do not slight this step. A conference that gets off to a bad start because of poor facilities will be operating at a disadvantage from the start. Ensure the room has all needed tables, chairs, training aids, ventilation, heat, lighting, pencils, and paper. If you need a sound system, be certain it works. Do not assume—check it out. The same applies for any audiovisual equipment you may use. Be prepared—have extra projection bulbs available and ensure telephones are available for use by conferees. There may be a situation where the conferees must contact their duty sections or units or vice versa. Remember, first impressions are lasting impressions.

8.2.4. **Participating in a Conference.** The conferees share with the leader the responsibility for a successful conference. If you are participating in a conference, you must examine the specific purpose of the conference and attain adequate background and knowledge of subjects the group will be discussing. Whether you are the leader of a conference or one of its participants, adequate preparation is the key to your success.

8.2.5. **Conducting a Conference.** The success or failure of a conference lies largely in the hands of its leader. A conference leader's zest and enthusiasm must be real, apparent, and contagious. Make the conferees feel it is

their meeting and its success depends on their participation. To lead a conference successfully, you must meet certain responsibilities at each stage of the conference. The leader of the conference has the responsibility to "get the ball rolling." Because a good introduction helps establish the right kind of climate for the conference, make sure the introduction is thorough. Let us look at what a good conference introduction should include:

8.2.5.1. *Introduce Conferees.* When it is time to start the conference, get the attention of the group and introduce yourself. Next, ask all conferees to introduce themselves and tell what base or organization they represent. If you know all the conferees, you may want to make these introductions.

8.2.5.2. *Explain Procedures.* Tell the conferees their role is to carry the discussion. Your role is to guide. Point out that the success of the conference depends on their taking an active part in the discussion, and then encourage each of them to participate. The conferees may be somewhat reserved at first; this is only natural until they begin to feel at home in the situation. Remember, those who are attending their first conference would probably prefer to listen rather than talk, but you should encourage everyone to contribute.

8.2.5.3. *Establish the Ground Rules.* Successful conference activity usually takes place in an informal atmosphere. But even when you intend to keep the atmosphere informal, you will need to lay down a few ground rules to ensure you make the best use of your time. Make sure the conferees are familiar with and accept these ground rules before you start the discussion.

8.2.5.4. *Start the Discussion.* In presenting the topic, phrase your remarks in a way the conferees will feel the topic is important to them. Be brief and to the point, but take time to present the topic forcefully because the tone of the entire conference will depend on how well it gets started.

8.2.5.5. *Guide the Conferees.* At this point, make sure the conferees understand the purpose of the conference (for example, to inform, to solve problems, or to negotiate agreements). After that, let the conference take its natural course. Only inject when necessary, for example, when the conferees are straying from the subject.

8.2.5.6. *Summarize.* Before closing a conference, summarize the discussion and clearly state the solution or conclusions. The members should leave the conference with a feeling of accomplishment.

8.3. Facilitating Written Communication. Air Force personnel are still amazed by the amount of

communication that moves across their desks. A former Air Force Vice Chief of Staff once commented that he looked at 13,000 pieces of paper in a 5-day period. Now, that is just too much! Think how much easier and more economical it would be if people would use the telephone, send electronic mail (e-mail), or write short notes. To write or not to write—that is the question. It is a question you need to ask yourself before you begin to write. If your supervisor assigns you a writing task, the question will be answered for you. But, if your supervisor is looking for a specific answer, you must find out if you will need a short or detailed answer. Can you satisfy your requirement with a telephone call, e-mail, or a short note, or do you require well-organized written information? After you recognize a need, you can then determine what kind of writing is necessary to satisfy this need. This part of the chapter provides you with some of the various forms of correspondence used in the Air Force. AFMAN 37-126*, Preparing Official Communications*, and AFH 37-137, *The Tongue and Quill,* offer help with official correspondence.

8.3.1. **Staff Summary Sheet:**

8.3.1.1. AF Form 1768, **Staff Summary Sheet**, serves as a cover for action papers and information going to higher levels. Its primary function is to provide a concise summary statement of staff actions that decision makers can review or act upon. Other uses include summarizing and explaining important aspects of complex problems or providing background information.

8.3.1.2. Preparing the staff summary sheet is not hard to master. Figure 8.1 gives you the information needed to complete this form. As you can see, the staff summary sheet is divided into three main areas. The top part of the form is for the coordination process, the middle is for administrative information, and the remaining 75 percent is for information about the action proposal. When the staff summary sheet is prepared properly, it can be an excellent vehicle for getting a formal decision and saving the Air Force time and effort.

8.3.2. **Bullet Background Paper.** The bullet background paper is one of the more popular means of providing information on a particular topic. Figure 8.2 gives you an example of a completed bullet background paper.

8.3.3. **Short Note Reply.** The short note reply is a suggested method to save paper as well as typing and it can be used to acknowledge, provide a brief routine reply, or forward correspondence. Figure 8.3 shows you how a short note reply should be prepared.

8.3.4. **Trip Report.** A trip report is basically a description of a temporary duty (TDY) trip you made at some other location. When you prepare the report, you should include the purpose, travelers, itinerary, discussions, and conclusions or recommendations concerning the trip. Most activities have established procedures to follow for preparing your report, or you may use figure 8.4 as an example.

8.3.5. **Staff Study Report.** There is no single formula for designing a report, and there are probably as many different types of reports as there are situations. What written staff instrument would you use to lay out a compact, yet complete problem solution for a decisionmaker? Most likely, you would use the staff study report.

8.3.5.1. *Actions Before Writing Your Report.* Before you can report on a problem and a proposed solution, you must mentally solve it. The thought process is far more important than what you actually call the instrument or what precise format you follow. The logical sequence of steps you should use before writing the report is the same formula you use in the problem-solving technique.

8.3.5.2. *Writing Your Report.* Once you have done your homework, you are ready to put your findings on paper. Figure 8.5 illustrates a suggested format for your particular report. If you omit certain paragraphs, renumber subsequent paragraphs accordingly.

8.3.5.3. *Completed Staff Work:*

8.3.5.3.1. A staff study report should represent the completion of staff work. This means the solution is complete enough so the decisionmaker has only to approve or disapprove. Your job is to advise your supervisor about what should be done—provide answers, not questions. Of course, it is okay to inquire at any point in the problem-solving procedure to find out if you are on the right track. This coordination will also save you time.

8.3.5.3.2. A smart decisionmaker focuses on the relevance and accuracy of your supporting material and the logic of your argument. Full coordination is the key to successful staff work. In addition to your own office, coordinate outside your office. If you point the finger at someone or some unit or if your solution requires a change in someone's operation, make sure you have your facts straight. It can make you look very foolish if you realize later they were operating under a constraint you were unaware of. The final test for completed staff work is to put yourself in your supervisor's place. Ask yourself if you would be willing to stake your professional.

Figure 8.1. The Staff Summary Sheet.

STAFF SUMMARY SHEET

	TO	ACTION	SIGNATURE (*Surname*), GRADE AND DATE		TO	ACTION	SIGNATURE (*Surname*), GRADE AND DATE
1	AF/LG	Coord		6			*Sign your surname, rank or grade, and date on the bottom line if you are the addressee; sign on the top line if you aren't the addressee. If more than 10 coordinators, use another form, renumber and fill in all info through Subject line.*
2	AF/XO	Coord		7			
3	AF/DP	Coord		8			
4	AF/PE	Appr		9			
5	AF/CC	Sig		10			

SURNAME OF ACTION OFFICER AND GRADE	SYMBOL	PHONE	TYPIST'S INITIALS	SUSPENSE DATE
CMSgt McDaniel	AFOMS	652-4075	clj	14 Jun 97

SUBJECT	DATE
Preparation of the Staff Summary Sheet (SSS)	2 Jun 97

SUMMARY

1. The SSS introduces, summarizes, coordinates, or obtains approval or signature on a staff package. It should be a concise (preferably one page) summary of the package. It states the purpose, pertinent background information, rationale, and discussion necessary to justify the action desired.

2. The SSS is attached to the front of the correspondence package. If an additional page is necessary, prepare it on plain bond paper. Use the same margins you see here. Summarize complicated or lengthy correspondence or documents attached or any tabs that are not self-explanatory. If they're self-explanatory, say so. Attach a copy (or extract of appropriate portion) of any document you reference.

3. List attachments to the SSS as tabs. List the document for action as Tab 1. List incoming letter, directive, or other paper--if any--that prompted you to prepare the SSS as Tab 2. (If you have more than one document for action, list and tab them with as many numbers as you need and then list the material you're responding to as the next number: Tabs 1, 2, and 3 for signature, Tab 4 incoming document.) List supplemental documents as additional tabs, followed by the record or coordination copy, and information copies. If nonconcurrence is involved, list it and the letter of rebuttal as the last tab.

4. VIEWS OF OTHERS. Explain concerns of others external to the staff (i.e., OSD, Army, Navy, State, etc.). For example: "OSD may disapprove of this approach."

5. OPTIONS. If there are significant alternative solutions, explain the options. For example: "Buying off-the-shelf hardware will reduce costs 25%, but will meet only 80% of our requirements."

6. RECOMMENDATION. Use this caption when SSS is routed for action. State the recommend-ation, including action necessary to implement it, in such a way that the official need only coordinate, approve, or disapprove the recommended action, or sign an attachment. Do not recommend alternatives. Do not use this caption when the SSS is being submitted for information only.

Richard C. Ourand, Jr.

RICHARD C. OURAND, Jr., Lt Col, USAF
Commander, AFOMS

2 Tabs
1. Proposed Ltr
2. HQ AETC/CC Ltr, 1Jun 97 w/Atch

AF FORM 1768, SEP 84 (EF-V2)   PREVIOUS EDITION WILL BE USED.

Figure 8.2. The Bullet Background Paper.

BULLET BACKGROUND PAPER

ON

THE BASIC COMMUNICATIONS CHECKLIST

PURPOSE
The Tongue and Quill six-step checklist on the basic concept of communications is an excellent tool designed to help you prepare oral and written communications. The steps include: analyzing your purpose and audience, conducting the research, supporting your ideas, getting organized, drafting and editing, and fighting for feedback. In this paper we will provide a synopsis for the first step of this six-step fundamental process for communicating effectively.

DISCUSSION
Step 1 is to analyze purpose and audience.

 − Determine the purpose of your communication: directive, informative, persuasive.

   − Directive communications generally emphasize *what* to do.

   − Informative communications highlight *how* something is done.

   − Persuasive writing or speaking focuses on *why*--getting people to act.

 − Analyze the sending audience.

   − Properly coordinate views representing your organization.

   − Ensure you or your organization can deliver what it promises.

   − Be consistent with policy.

   − Consider the boss' views and style when preparing communications representing the boss.

 − Analyze the receiving audience.

   − Determine if the receiving audience is receptive, skeptical, or hostile.

   − Decide what tone is appropriate; e.g., stern, warm.

   − Understand the audience's knowledge level of the subject.

SUMMARY
This paper summarizes the first step of *The Tongue and Quill* six-step basic fundamental communications process. By analyzing the purpose of your communication and knowing both the sending and receiving audience, you will be well on your way to using the basic six-step checklist to increase your effectiveness as a communicator.

SrA Jantz/AFOMS/OMP/7-4075/clj/1 Jun 97

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reputation on this problem-solution report. If the answer is no, it is time to start over

8.3.6. **The Military Résumé:** Military members are finding that, for the highly competitive jobs, the person responsible for hiring wants to know more about the prospective candidates than can be easily deciphered from a preselection brief or records review. Make sure your résumé is accurate; inconsistencies between your records and your résumé could be very embarrassing. *A word of caution:* More is not necessarily better. **Keep your résumé to one page, if possible, or two pages maximum.** Refer to AFH 37-137 for further information. As a minimum, you should include the following on all résumés:

- Name, address, and phone number (including the area code).

- Job objective or summary statement.

- Qualifications and work experience relevant to the job you are seeking.

- Education. Include education or training acquired during military service or through workshops, seminars, and continuing education classes relevant to the position you are seeking.

Figure 8.3. The Short Note Reply.

DEPARTMENT OF THE AIR FORCE
AIR EDUCATION AND TRAINING COMMAND

6 Jan 97

MEMORANDUM FOR ACSC/DESP

FROM: AFOMS/OMP
            1550 5th Street East
            Randolph AFB TX 78150-4449

SUBJECT: The Short-Note Reply Memo Format

Please explain the function and format of the short-note reply. I understand it saves paper as well as typing and can be used to acknowledge, provide a brief routine reply, or forward correspondence.

Michael L. Fisk

     MICHAEL L. FISK, MSgt, USAF
     Supt, Professional Development Flt

Memorandum for AFOMS/OMP

You just explained it! Write (or type) it on the letter if space allows; if not, put it on a separate page and attach it. Make a copy for your files.

Gwen Story
T&Q OPR

Figure 8.4. The Trip Report.

DEPARTMENT OF THE AIR FORCE
AIR EDUCATION AND TRAINING COMMAND

MEMORANDUM FOR SAF/AAI   5 Jan 97
                                AA
                                IN TURN

FROM: AFOMS/OMP
                1550 5th Street East
                Randolph AFB TX 78150-4449

SUBJECT: The Trip Report Format

1. PURPOSE: Briefly state the reason for your trip. The report should answer the questions who, what, when, where, why, how much, and provide recommendations and conclusions. Attach meeting minutes or any other background documents that provide more detailed information, if needed. The format for the report is not particularly important. The official memorandum shown here is a good example; however, if another format better suits your needs, or your organization has a preferred format, use it.

2. TRAVELER(S): Include grade, first name or initial, and surname. Provide   position titles if travelers are from different offices or organizations.

3. ITINERARY: List location(s) visited, inclusive dates, and key personnel contacted.

4. DISCUSSION: Base the amount of detailed information you include here on the knowledge level of your intended readers. Always include the trip objective, problems encountered, findings, future commitments made, and your contribution to the event.

 5. CONCLUSIONS/RECOMMENDATIONS: Summarize your findings and/or recommended actions.

Diana R. Bryan

DIANA R. BRYAN, TSgt, USAF
AF Manager, USAFSE Study Guide

Attachment:
Minutes, 28 Dec 96

Figure 8.5. The Staff Study Report.

DEPARTMENT OF THE AIR FORCE
AIR EDUCATION AND TRAINING COMMAND

6 Jan 97

MEMORANDUM FOR (Address)

FROM: AFOMS/OMP
         1550 5th Street East
         Randolph AFB TX 78150-4449

SUBJECT: Preparing a Staff Study Report

PROBLEM

1. Clearly and concisely state the problem you are trying to solve.

FACTORS BEARING ON THE PROBLEM

2. Facts. Limit your facts to only those directly relating to the problem.

3. Assumptions. Should be realistic and supportive of your study.

4. Criteria. Give the standards, requirements, or limitations you will use to test possible solutions. Ensure you can use standards to measure or test solutions.

5. Definitions. Describe or define terms that may confuse your audience.

DISCUSSION

6. This section should show the logic used in solving the problem. You should introduce the problem and give some background, if necessary. Then explain your solution or possible solution.

CONCLUSION

7. State your conclusion. This should be a workable, complete solution to the problem you described previously in "Discussion."

ACTION RECOMMENDED

8. Tell the reader the action necessary to implement the solution. This should be worked so the boss only needs to sign to make the solution happen.

Richard W. Powelson

RICHARD W. POWELSON, TSgt, USAF
Chief, Quality Control Branch

Attachments:
(listed on next page)

NOTES:

Chapter 9

PLANNING, PROGRAMMING, AND BUDGETING SYSTEM (PPBS)

9.1. Introduction. This chapter focuses on the dynamics of the PPBS. In volume 1, you read information on some of your responsibilities to forecast a budget and to manage manpower. By meeting these responsibilities, you have already taken part in the PPBS process.

9.1.1. The PPBS is the process used within the DoD to identify needs, determine resource requirements, and allocate resources to accomplish the DoD mission. Knowledge of the PPBS impacts your ability to forecast fiscal year funds, change manpower requirements, and procure equipment. The PPBS is the DoD Resource Management System (RMS) used to identify long-range mission needs of the Air Force and other DoD agencies. The Directorate of Programs and Evaluations personnel use the PPBS to match these needs with resource requirements, and then review and translate the program requirements into budget proposals.

9.1.2. Before the 1960's, fiscal year constraints were the only controls the Secretary of Defense (SECDEF) exercised over the annual Air Force program. The budget was planned only 1 year at a time and there was no effective long-range planning. During the 1960's, Secretary of Defense Robert McNamara stated that if the PPBS concept was used within the DoD, it would provide a clear relationship between defense plans and defense dollars. From this perspective, the PPBS is an effort to ensure defense dollars relate to program requirements.

9.1.3. The nature of resources needed to support today's military organizations is marked by large requirements, limited availability, and competitive programs. No matter how large the defense budget, funding for military programs will be confined to a congressionally determined budget limit. Since there are always more programs than can fit comfortably within this budget limitation, the various military programs are compared and evaluated to determine the most effective programs for the money. The competition is more than just a rivalry between two courses of action—it is competition between types of resources. The number of personnel and the cost and quantity of hardware required to field or maintain a system are compared on an effectiveness basis to other systems combining different personnel, expenses, and materiel requirements.

9.2. The PPBS Process:

9.2.1. Before 1961, the DoD treated financial budgeting and military planning as independent, unrelated activities. The results of the military departments' planning were expressed in terms of military forces and major weapons systems. At that time, budgets only expressed annual requirements in terms of such factors as manpower, supplies, and equipment. Although such budgets provided information on total resource requirements, they were unable to provide on a systematic basis sound cost data on the individual weapons systems and force units for any period beyond the budget base. Thus, Air Force leadership was unable to judge the relative costs and military effectiveness of alternative programs. A method was needed to either merge the planning and budgeting process or to build a bridge between the two.

9.2.2. The DoD eventually developed a combination of merging and bridge building. Beginning with the fiscal year 1963 budget, the DoD initiated a streamlined programming and budgeting procedure. This procedure attempted to tie all areas of the defense effort together, relating national security objectives to strategy, strategy to forces, forces to resources, and resources to costs, all within the same conceptual framework. Further, it projected estimates of costs several years into the future.

9.2.3. The original PPBS required a budget be submitted for the next fiscal year only. The planning, programming, and budgeting functions were completed every year before the budget was submitted. In an effort to streamline the process, this system was changed to a 2-year period and the process was renamed the Biennial Planning, Programming, and Budgeting System (BPPBS), thus allowing more time to properly plan, program, and budget. In reality, although many publications still refer to BPPBS, fiscal guidance and economic factors change so frequently that the second year of the budget submission is normally reaccomplished during the "off" year. This additional exercise further compounds the overlap that occurs throughout the year. For example, during October 1989, the Air Force was generating at FY90 levels, defending the FY91 amended budget with the Office of Management and Budget and the Office of the Secretary of Defense (OSD), developing the Defense Guidance for FY92, and drafting the FY92-97 Program Objective Memorandum (POM). In summary, the PPBS is an ever-evolving process. It encompasses 3 years from the start of the planning process to budget execution.

9.3. The Planning Phase. The planning phase of the PPBS process begins with several sources providing inputs into two major categories. The first category includes policy, strategy, and force planning. The second category is resource planning. The military departments, the Joint Chiefs of Staff (JCS), the commanders in chief (CINC) of the unified commands, and the OSD provide recommendations and advice, taking into account

intelligence information and guidance and policies from the President and the SECDEF. The CINCs meet with the OSD and the Defense Resources Board (DRB) to discuss their views and recommendations.

9.3.1. **The Defense Resources Board.** The planning phase of the PPBS establishes the foundation on which the military departments build their programs and request their funds. The military departments help establish this foundation through membership in the DRB. Inputs from the military departments and several other sources are considered during a period of concentrated planning.

9.3.2. **The Joint Strategic Planning System (JSPS):**

9.3.2.1. Memorandum of Policy (MOP) 7 established the JSPS as the formal means for the Chairman, Joint Chiefs of Staff (CJCS), in consultation with the Services' chiefs of staff and the CINCs, to provide strategic plans and directions. The JSPS also complements the PPBS and addresses the preparation and review of contingency plans. The JSPS strengthens and streamlines the CJCS's role as defined in the Goldwater-Nichols DoD Reorganization Act of 1986 through a combination of front-end CJCS guidance and fewer, more concise documents.

9.3.2.2. MOP 7 consists of four documents. First, the Chairman's Guidance provides top-down guidance and the framework for building national military strategy. Second, the Chairman's Program Assessment provides an assessment of the composite POM force recommendations to assist the SECDEF in making decisions on defense programs. The third document, the National Military Strategy Document, provides a statement of strategy, the objectives, and the environment and it incorporates parts of the Chairman's Net Assessment for strategic planning. And finally, the Joint Strategic Capabilities Plan drives apportionment of force operation plans.

9.3.3. **The Defense Planning Guidance (DPG):**

9.3.3.1. The DPG document is the SECDEF's statement of threat assessment, policy, strategy, force, and resource planning, plus fiscal guidance to all DoD organizations, from which the Services develop their programs. Fiscal guidance is the total dollar level within which the military department's budgets are to remain. The OSD staff develops the document from inputs provided by the CJCS. Involvement of the DRB throughout the planning phase ensures a dialogue between the OSD, the JCS, and the military departments before publication of the DPG. The DPG consists of the following elements: near- and long-term threat assessment and opportunities, policy and strategy guidance, force planning guidance, resource planning guidance, and unresolved issues requiring further study. Each military department gives a 6-year forecast of

its requirements in the major mission and support categories. By considering the limits on funds early in the planning phase, it forces all agencies concerned to consider alternatives and priorities throughout the entire process. These constraints generate more efficient analyses and evaluations at every step of the process.

9.3.3.2. The DPG requires each military department to submit a POM, and it requires the JCS to submit an assessment of the ability of the service POM to carry out national military strategy. On the date the DPG is issued, the planning cycle is essentially complete and the focus shifts to the programming phase.

9.4. The Programming Phase:

9.4.1. The programming phase is the orderly scheduling of activities and resources to meet projected requirements. This process is one of continuous management to obtain coordinated action in achieving stated objectives over successive periods of time. The objectives themselves are activities to be performed and resources to be acquired within a specified time. Programming bridges the gap between plans and the budget.

9.4.2. Very simply, programming is a logical step from broad goals and national interests to specific resource requirements. Programming places desires and goals in packaged units by categories of interest and by national security priority. As it affects the DoD function, programming relates resource inputs (manpower, materiel, and installations) by type and cost to military outputs (strategic and general forces). We operate various missions throughout the world, and our missions may change depending on the world situation. Planners must identify the need to change or alter missions in support of national strategy, while programmers prioritize resources within fiscally constrained limits in an effort to achieve national goals.

9.4.2.1. *The Program Objective Memorandum (POM).* The Air Force submits its proposal for a total Air Force program in terms of forces and manpower by developing a POM. The POM is a comprehensive and detailed presentation of the forces and manpower needs proposed by the Air Force within the constraints of the fiscal year guidance. It is structured by the major mission and support categories used in the fiscal and force capabilities guidance. The Air Staff tasks the major commands and field operating agencies to provide their budgetary inputs using the POM. These inputs are used in developing the overall Air Force POM which is submitted to the OSD. An important part of each POM is the identification of program costs. The POM also provides an assessment of risk resulting from budget deviations. The Air Staff prepares the initial analysis and presentation of force alternatives which are then reviewed by the OSD.

9.4.2.2. ***The Program Decision Memorandum (PDM).*** Based upon a simultaneous review of the POM of each service, the SECDEF issues decisions on force and program changes in the form of a PDM, using the POMs as a baseline. There are provisions for the Air Force (and other Services) to express different views to any of the Secretary's program decisions. The SECDEF directs his or her staff to evaluate these views. Any new decisions resulting from such a review will be reflected in modified PDMs.

9.4.2.3. ***The Future Years Defense Program (FYDP):***

9.4.2.3.1. The DoD budget is planned and programmed in advance under the FYDP. The primary planning documents for the FYDP are the Chairman's Guidance and the National Military Strategy Document prepared by the JCS. The SECDEF will not necessarily approve all elements of the projected force structure recommended by the JCS. Those that are not approved either do not appear in the FYDP or are not placed in a recommended category. For example, a program may remain in a research status rather than shifting into full-scale development.

9.4.2.3.2. The FYDP is the foundation of the DoD programming system. It is the official summary of the SECDEF's approved plans and programs for the DoD. The FYDP outlines the national defense missions by classifying them into major force programs. Mission-oriented programs are developed on the basis of broad military missions that cut across traditional organizational lines. As it relates to the cost of resource inputs to military outputs, it also coordinates programming with short-range detail budgeting. This is accomplished by projecting the programs (costs) at least 6 years into the future (9 years for forces or aircraft). Each year, a program year becomes the basis for the budget. The programs are reviewed and changed, if necessary, on a continuous basis.

9.4.2.3.3. The FYDP is really a skeletal structure composed of several basic elements on which plans and objectives are matched with people, equipment, requirements, and dollars. The data in the FYDP represent not only the Air Force program, but also the entire DoD program. It contains information for the current year and for future programs.

9.5. The Budgeting Phase:

9.5.1. The budgeting phase is the start of a complex system based on program decisions made by the OSD. The approved programs are in the FYDP which becomes the baseline document for the budgeting phase. The budgeting phase incorporates the PDM and FYDP into the President's budget for submission to Congress for approval. The congressional enactment phase begins when Congress receives the President's budget and continues through the formal reviews by the Armed Services Committee, Authorizations Committee, and Appropriations Committees of both Houses of Congress. The congressional-action phase ends with the enactment of authorization and appropriation bills that become law when the President signs them. After the budget has been approved, it is allocated to the various agencies within the DoD.

9.5.2. In conclusion, the DoD budget is identified under the PPBS. Although this may be a new term to Air Force supervisors, the process is not new. In different forms, PPBS has been used in the DoD and at the Air Staff level since the 1960's. You, as a manager and supervisor, directly contribute to this process through the RMS. RMS refers to the management of personnel, money, and materiel. Within this system, you have the responsibility to establish and forecast a budget to ensure sufficient funds are available to accomplish your mission. These requirements are consolidated at the MAJCOM and sent to HQ USAF for inclusion in the POM. As you can see, you have been involved in the PPBS by forecasting your annual requirements. Thoughtful and accurate estimates on the local level are extremely important in reflecting the overall Air Force needs—you and every other senior NCO must play a key role.

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NOTES:

Chapter 10

RESOURCE MANAGEMENT

10.1. Day-to-day Management:

10.1.1. **Purpose for Managing Resources.** The purpose of day-to-day management of resources is to meet as many mission objectives as possible with available funds. The importance of resource management should be obvious to you--you must understand its relationship to financial planning and mission objectives. If planning is inadequate, funds received will also be inadequate, thus making management very difficult and adversely affecting mission performance.

10.1.2. **Objective.** The RMS is designed specifically to ensure we accomplish the Air Force mission within the funding limits imposed by Congress. Today, this objective is achieved through the combined effort of members of an installation in positions to exercise control over available resources. The RMS ensures the individuals responsible for a functional area are also responsible for the resources required to support mission accomplishment.

10.1.3. **Responsibility of Resource Managers (RM).** The primary responsibility of RMs is to plan for and control the expenditure of funds in a manner that will meet mission objectives within financial limitations. Resource management is the responsibility of all RMs.

10.1.4. **Responsibility Centers (RC).** Each unit on base, such as a supply squadron, transportation squadron, or medical facility, is referred to as an RC. Responsibility center managers appoint a resource advisor (RA) for the organization to monitor the preparation of budget estimates, participate in the development of budget targets, and monitor the day-to-day use of resources. An effective RA must understand the terminology, accounting structure, reports, budgeting process, financial committee functions, and the reprogramming and management of funds. The RC managers take the leading role in encouraging good financial management within their units. Personnel from the base-level comptroller and the defense accounting office contact RAs on matters pertaining to resource management.

10.1.5. **Cost Centers (CC).** The CC is a section or work center within a unit that reports to the RA on fiscal matters. The CC manager or work center supervisor is vital to the RMS for the responsibility and use of resources. These managers or supervisors regulate the day-to-day consumption of workhours, supplies, equipment, and services in performing their units' missions. Because these individuals monitor the daily use of items such as parts, equipment, and supplies, CC managers are in the best position to make budget estimates

and forecasts; however, they must be aware of possible changes in the mission or work load if they expect to make accurate predictions.

10.1.6. **Internal Management Data.** Internal management data is generally not available in formal base financial reports. This data reflects the work load of the unit. Normally, the RA maintains internal information concerning annual expenditure of funds; for example, civilian overtime requests, paid TDY vouchers, list of contracts with descriptions, contract maintenance data, impact of mission changes, inflation impact on financial programs, and work load data. Work load data includes information such as the number of customers served and number of line items processed. Work load data also serves as the basis for determining cost data in preparation of budgets and financial plans.

10.1.7. **Accounting System:**

10.1.7.1. The accounting system produces reports that RMs use to monitor and control their funds, such as for TDY travel and supplies. The reports show the amount of funds the RM spent, the amount of funds left to spend, and how well these figures compare to the projected spending of the operating budget.

10.1.7.2. The accounting system periodically distributes management reports to the appropriate RC manager, CC manager, and financial analysis officer. These reports generally include the funding target, dollar amounts spent, and unpaid balances. The RC managers use these reports to monitor their unit budgets.

10.1.8. **Financial Analysis:**

10.1.8.1. Financial analysis is more than just studying dollar costs. It involves the full act of analyzing the operations, programs, and plans that cause the dollar costs. The dollar figures shown on financial status reports are, to a large degree, a mirror of the base programs being executed. The first thing to do in analyzing these financial reports is to read the figures. If you are exceeding targeted amounts, you are either completing a program ahead of schedule or spending more money than you should. It is important to learn what is happening. Once you have checked the dollar status, you must then check the program status.

10.1.8.2. Let us look at an example concerning vehicle maintenance financial reports. With 25 percent of the year lapsed, you have spent $35,000 out of your $100,000 annual program. In other words, you have spent 35

percent of your budget. Now, if you have performed maintenance on 35 percent of the programmed number of vehicles for the year, you are in good shape—you have simply accelerated your program. However, if you have completed only 15 percent of your annual requirement and spent 35 percent of your money, you may be in trouble. Is the job costing more than you planned? Is more maintenance required than you expected? What is the problem? These are questions you must answer before choosing a course of action.

10.2. Unit Property:

10.2.1. **Managing Organizational Equipment and Property:**

10.2.1.1. Military and civilian personnel assume responsibility for all Air Force property in their custody. Property management applies to each individual regardless of duty assignment or level of supervision.

10.2.1.2. Commanders are responsible for managing public property under their control, including maintenance of records that can be audited, proper care and use of public property, and instructions on the specific responsibilities of subordinate personnel. Commanders and supervisors are responsible for ensuring controls are established to eliminate uneconomical equipment management. They must also ensure all personnel are taught proper care and safeguard principles of supplies and equipment, and that these principles are enforced.

10.2.1.3. AFMAN 23-110, *USAF Supply Manual*, volume 2, part 13, chapter 8, specifies the policy and procedural guidance for managing organizational equipment under the Air Force Equipment Management System (AFEMS). The AFEMS provides a standard system of equipment applicable to all Air Force activities. It is the information source used by Air Force equipment managers to determine, authorize, provide visibility, support the equipment buy/budget program, and report the types and quantities of equipment required to accomplish the Air Force mission. Allowance standards (AS), provided both on-line in the AFEMS and off-line via compact disk read only memory (CD-ROM), include the authorization for specific items and quantities required for the wartime and peacetime needs of each Air Force unit. You will understand these concepts if you are appointed primary or alternate equipment custodian and attend the special training provided by your installation's chief of supply.

10.2.2. **Accounting and Reporting of Property:**

10.2.2.1. Military members are responsible for Government quarters (family housing or unaccompanied personnel housing), equipment, furnishings, and personal items issued to them. Military and civilian personnel are liable for the loss, damage, or destruction of Government property issued to them for their exclusive personal use, with or without receipt, if the report of survey determines that the loss or damage was caused by the member's negligence or deliberate unauthorized use of that property. The member is also liable for such losses or damage caused by guests, dependents, and guests of dependents. Under circumstances in this paragraph, liability is *limited to 1 month's basic pay.* AFMAN 23-220 prescribes policies, principles, standards, and procedures for determining responsibility and accountability for Air Force property lost, damaged, or destroyed.

10.2.2.2. Responsibility for equipment issued to a using organization is assigned to a designated property custodian by use of a custodian authorization/custody receipt listing (CA/CRL). A property custodian is a person designated by the organization commander or chief of a staff agency to have custodial responsibility for Government property in his or her possession. The designated property custodian will sign the CA/CRL reflecting all items of property authorized for use by the organization. The property custodian will only be relieved of responsibility by transferring the property account to another property custodian or providing authorized adjustment documents.

10.2.3. **Vehicle Justification.** Allowance Standard 019-032 prescribes maximum allowances for vehicles required to accomplish organizational and functional missions. It is a source document only, not an authorization for a vehicle.

10.2.4. **The Vehicle Control Officer (VCO) Program.** Vehicles permanently assigned to flights require day-to-day management in addition to services provided by members of the transportation squadron. To help in this effort, the Air Force has adopted a vehicle control officer (VCO) program. This program helps organizations manage and make the most effective use of their assigned vehicles. The VCO serves as a liaison between the unit and the transportation squadron.

10.2.4.1. *The Vehicle Control Officer.* Vehicle operational and maintenance policy delegates much of the control of vehicles to the using organization. All vehicle users are responsible for the operation, conservation, and condition of any Government vehicle they drive. However, the driver's supervisor and commander are responsible for enforcing this responsibility through the VCO. The VCO must promote proper operator care and ensure quality maintenance for consistent vehicle reliability. VCOs must also take appropriate measures to prevent the misuse, abuse, and damage to Air Force vehicles.

10.2.4.2. *How To Obtain Flight Vehicles.* When vehicle authorizations are required to support mission requirements, vehicle operations fleet management personnel can provide valuable assistance to expedite processing of the request. Flight vehicles are justified on AF Form 601, **Equipment Action Request**. The AF Form 601 is verified by the vehicle operations officer and evaluated by the logistics group (LG) commander. The LG commander recommends approval or disapproval of the authorization request. Base-level transportation personnel then forward the request to their major command (MAJCOM). The authorization, if approved by the MAJCOM, will be added to the vehicle authorization list which is maintained in vehicle operations. Vehicle operations will assign the appropriate type of vehicle when it becomes available.

10.2.4.3. *Retaining Present Flight Vehicles.* After a vehicle is authorized and assigned, continued retention is based on the continuing need, mission, and achievement of Air Force utilization goals. Vehicle requirements are periodically validated by base-level transportation personnel and their MAJCOM to ensure only the minimum vehicles necessary to support the mission are authorized.

10.3. Facilities Management:

10.3.1. **Installation Commander.** The installation commander has overall responsibility and accountability for the operation of an Air Force installation. The installation commander (assisted by staff) is responsible for: (1) ensuring the effective and efficient use of Air Force real property; and (2) identifying, planning, and programming all real property maintenance, repair, and minor construction requirements necessary to properly support assigned missions and people.

10.3.2. **Using Organization.** Facility management begins with the using organization. The using organization is responsible for identifying space requirements and facility work requirements to effectively support its mission. Required facility work can range from maintenance and repair to alteration, renovation, or even new construction. The commander of each organization is responsible for the facility or facilities assigned to the organization. Each organization commander shall assign a facility manager for each facility belonging to the organization. Facility managers submit work requirements either verbally or in writing to the base civil engineer (BCE) facility maintenance unit or zone. For self-help work, facility managers submit an AF Form 332, **Base Civil Engineer Work Request**, to prevent conflict with other work planned for a facility and to ensure the work meets fire, safety, health, and environmental standards. The facility manager can also notify the BCE squadron of emergency work requirements by telephone 24 hours a day, 365 days

a year.

10.3.3. **BCE Squadron.** For work requirements, zone personnel will determine the necessary documentation and establish the appropriate type of work order--either direct scheduled work or planned work. Direct scheduled work generally does not require detailed planning. Planned work requires detailed planning or capitalization of real property records. The facility maintenance zone manager conducts periodic facility reviews to identify all recurring work, minor maintenance and repair, and selected work orders. Zone managers work directly with the facility managers.

10.3.4. **Planning and Programming Facility Projects:**

10.3.4.1. Planning is the identification of facility work to satisfy current and future mission requirements. BCE squadrons use several methods to identify facility requirements, including annual space utilization survey, biennial Commanders' Facility Assessment, assessments of environmental compliance status, and user- or occupant- identified requirements.

10.3.4.2. Programming is the process of acquiring both the authority and resources necessary to accomplish the planned work. After the requirements are identified, BCE will develop facility project proposals and present them to the installation commander for validation, prioritization, and approval by the proper authority. A key element of programming facility requirements is proper work classification. Work authorization and approval levels and fund sources vary with work classification. Real property maintenance work is classified as maintenance, repair, or construction. Construction work is classified as minor construction (less than $300,000), unspecified minor construction (urgent requirements between $300,000 and $1,500,000), and military construction (normal construction greater than $300,000).

10.3.5. **Real-Property Records:**

10.3.5.1. The BCE squadron must accurately record all changes in the use of real property and all physical changes (including building additions, renovations, and upgrades), disposal, and ownership changes (transfer of real property) on real-property records. Real-property records indicate when a facility was built and the cost of any alterations and improvements accomplished by minor construction, to include self-help work. It is important for facility managers to notify the BCE squadron, through the zone manager, of any changes to their facilities.

10.3.5.2. Real-property records form an audit trail of the use and expenditure of funds on facilities and other real property. The base leadership, MAJCOMs, Air Staff, DoD, and Congress use data from these records to make

critical planning, programming, and budgeting decisions.

10.4. Resource Management Team (RMT):

10.4.1. The RMT concept is designed to improve base-level management. The main purpose of the RMT is to train and motivate personnel by observing and crossfeeding innovative resource management ideas. The team usually consists of consultants from comptroller, supply, transportation, BCE, and personnel offices. Each base has an RMT unless a waiver request to the MAJCOM has been approved. Refer to AFI 65-601, volume 2, *Budget Management for Operations.*

10.4.2. The RMT's charter is to help flights manage resources and, when necessary, identify excesses. The RMTs should offer their services to every major RC annually to review how it programs, controls, and consumes its resources. This includes augmenting formal financial training, reviewing conservation efforts, ensuring proper use of equipment, and monitoring supply discipline. An effective RMT can speed up the learning process and ensure efficient use of resources and program management.

10.5. Energy Conservation Program:

10.5.1. The DoD and Air Force recognized the need for an effective energy conservation program during the 1973 oil embargo by oil-producing exporting countries. From 1973 through 1975, the Air Force initiated numerous conservation actions. These actions resulted in a 29 percent decrease in the use of petroleum products and ensured continued operational readiness during the crises. The Department of Energy expects a continued expansion in the United State's thirst for crude oil in the 1990's. This expansion will increase our reliance on imported foreign crude oil to more than 50 percent of total demand, a significant increase from the 31 percent figure of 1985. The high rate of dependence, coupled with the instability in the Persian Gulf region, makes it clear that the need for an effective energy program is as important now as it was during the oil crises of the 1970's. Executive Order 12902, 8 March 1994, directed all Federal agencies to reduce energy consumption in Federal buildings and facilities by 30 percent by the year 2005. By meeting this goal, the Federal Government will save American taxpayers approximately $800 million in annual energy costs and cut Federal energy consumption by the equivalent of 100,000 barrels of oil a day.

10.5.2. The Air Force is the largest consumer of petroleum inside the DoD, accounting for approximately 56 percent of total DoD consumption. In FY95, the Air Force consumed more than 90 million barrels of petroleum products. On an average, aviation fuel constitutes 81 percent of the Air Force's energy use, utilities 18 percent, and ground equipment 1 percent.

10.5.3. It is important that the Air Force increase energy efficiency to ensure we have the needed resources to accomplish the mission at a reasonable cost. Consequently, the Air Force has developed several programs to meet specific requirements within the Air Force and DoD.

10.5.4. The Air Force's general policy is to make every effort to meet or exceed established conservation goals without degrading military readiness, safety, and effectiveness. This is to be accomplished through management actions, investment in energy conservation technology and equipment, and by creating information and recognition programs that promote energy conservation and management awareness throughout the Air Force.

10.5.5. The current Energy Management Program seeks to encourage all Air Force personnel to use energy efficiently, both at work and at home, without degrading operational readiness. It also encourages the procurement of practical energy conservation alternatives for facilities and operations with an emphasis on conservation of petroleum through the use of alternative, more abundant, or renewable energy sources. Structured to comply with DoD guidance, the program reflects a long-term commitment by the Air Force. It calls for organizations to inform their members about the energy climate, educate them about the direct relationship between energy and national defense policy, and maintain their interest in conserving energy and national security by continuously publicizing energy goals and policy and disseminating new energy information.

10.5.6. The Headquarters United States Air Force Energy Management Steering Group (EMSG) provides top-level management oversight of the Air Force energy program. The EMSG develops energy conservation strategies, publishes guidance, and monitors energy program performance in meeting energy program goals and objectives.

10.5.7. The wing commander, or designee, chairs the base EMSG. This group formulates base energy policies, ensures base programs carry out energy policy, and designates a base energy manager. The base energy manager manages the day-to-day activities of the base energy plan and is the most important individual in the Air Force energy program.

10.6. Summary. The RMS affects the entire management process in the Air Force. All supervisors, managers, and commanders are responsible for financial management. Remember, the amount of money you spend affects the entire Air Force mission. You, as a senior NCO, have a

daily role to play in the overall system. You must plan for future requirements and ensure you properly use allocated resources. If you do this, the result will be a stronger and more efficient Air Force.

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Chapter 11

CIVILIAN PERSONNEL MANAGEMENT

11.1. Civilian Programs. This chapter provides an overview of the Air Force civilian personnel management system. Today, perhaps more than ever, the Air Force must maximize the efficiency and effectiveness of its civilian employees. About one-third of the total Air Force end-strength is civilian (in some units, the percentage is much higher). Therefore, the first step in avoiding management pitfalls is to understand the structural framework, specific objectives, and programs that make up the civilian personnel management system. The following paragraphs cover civilian resource management; position descriptions (PD)/core documents (CD); COREDOC; staffing; training and development; civilian career programs; sustainment; performance planning, appraisals, and awards; conduct and discipline; equal employment opportunity (EEO); substance abuse; and compensation, work hours, and leave administration.

11.1.1. **Civilian Resource Management:**

11.1.1.1. Pay for civilian employees is part of installation and MAJCOM operating budgets. The Air Force's objective is to manage civilian human resources within its civilian pay budget while striking an optimum balance among mission needs, economy and efficiency of operations, balance of skills and career paths, employee development and motivation, and recruitment and retention of competent personnel. Authority, responsibility, and accountability for civilian resource management is delegated through MAJCOM and installation commanders to the lowest practicable organizational level. These levels constitute budget units for employment planning and budget development and execution.

11.1.1.2. The civilian human resource budget (HRB) includes the total obligation authority comprised of direct obligating authority (DOA) dollars and earnings from reimbursements and revolving funds. The availability of financial resources validated by the installation financial management board, and civilian manpower requirements validated by the installation manpower office, are the primary controlling factors in civilian human resource employment planning and execution.

11.1.1.3. Managers and supervisors are tasked with fiscal accountability for execution of their civilian HRB and establishment of effective work force structures. Structuring the workforce to be mission and cost effective involves consideration of the interweaving of military and civilian authorizations, the number and size of subordinate units, the number and grade levels of civilian positions, and the ratio of professional to administrative positions

and supervisory to nonsupervisory positions.

11.1.1.4. Civilian appointments (permanent, term, temporary) are appropriated for the projected duration of the required work load and available funding. Positions funded through realignment of a DOA source other than civilian pay are not considered permanent positions, and employees should be appointed accordingly. The resource allocation process (RAP) is the method through which the Air Force prioritizes funds to execute its programs. These decisions are reflected in the Future Years Defense Program (FYDP). Therefore, long-term human resource decisions requiring reprogramming of funds from other than civilian pay dollars must be approved through the RAP for inclusion in the FYDP.

11.1.1.5. Civilian personnel, manpower, and comptroller specialists provide integrated human resource advisory services to managers and supervisors. CIVCOST decision support software is available to track and project total civilian pay and benefits costs for the budget unit. Contact your civilian personnel flight (CPF) specialist for any assistance you may need with civilian resource management and CIVCOST.

11.1.2. **Position Descriptions (PD)/Core Documents (CD):**

11.1.2.1. A PD is a description of the officially assigned duties and responsibilities that includes sufficient information to determine classification and qualification factors. A CD is a document that contains a description of the officially assigned duties and responsibilities that also includes integrated information for position classification, staffing, and performance management. The terms PD and CD are interchangeable for the purpose of this section.

11.1.2.2. PDs/CDs are required by the Office of Personnel Management (OPM) for all civilian positions and are well-established tools of good management. They are invaluable in matching people and responsibilities. Position classification (the assignment of pay plan, title, occupational series, and grade to a position) can only be accomplished if an accurate PD/CD has been written for the position. PDs/CDs also serve other needs, such as providing useful information to improve work methods and organizational design, evaluating employee qualifications, explaining assignments to new employees, and promoting clarity and uniformity of understanding. Keeping position information current is obviously important. When PDs/CDs are out-of-date, they no longer reflect management's intentions. Consequently, any action taken using outdated information is likely to be challenged

and, thus, may even be counterproductive. Because supervisors are responsible for determining the duties and responsibilities of each position, they must ensure the accuracy of each PD/CD in their organization.

11.1.2.3. The manager's responsibilities for PDs are:

- Assigning definite duties, responsibilities, and authorities to positions which conform with the purpose of the position as identified in manpower documents and for preparing clearly defined PDs/CDs or selecting applicable standardized PDs/CDs for use.

- Considering the impact on all other positions before assigning grade-impacting duties.

- Advising the manpower and CPF staffs of any proposed position or organizational changes.

- Periodically reviewing each position for accuracy and making necessary adjustments.

- Advising employees of their assigned duties and responsibilities, their right to review classification standards, and their right to appeal position classification decisions.

11.1.2.4. As a minimum requirement, you should carefully review the PD/CD for any vacant position in your organization before taking action to fill the vacancy. In addition, you are responsible for reviewing all PDs/CDs periodically and for notifying the CPF when there are significant changes in duties and responsibilities assigned.

11.1.3. **COREDOC/PALACE Automate:**

11.1.3.1. COREDOC and PALACE Automate are integrated automated personnel systems to generate CDs. PALACE Automate is software that was developed for Air Force use by a civilian contractor to implement our CD concept. When the Department of Defense (DoD) opted to implement our CD concept Department-wide, a Navy software program was chosen, instead of PALACE Automate, as the prototype. COREDOC is that DoD software. Both systems are available for selected occupational series and can be used as tools for creating core documents.

11.1.3.2. There are many advantages to CDs for supervisors and employees. For example:

- Employees have more understandable duties and clearer performance requirements available on the same document.

- The CD concept provides one-stop service for supervisors with one personnel specialist at the CPF.

- Automated software reduces paperwork and saves time in developing PDs, performance plans, and recruitment criteria.

- Automated software improves consistency among position classification, recruitment and promotion, performance management, and product delivery and service, which might increase customer satisfaction.

11.1.3.3. The use of CDs is currently undergoing Air Force-wide implementation. Once implemented, CDs replace PDs and the AF Form 860, **Civilian Performance and Promotion Appraisal-Performance Plan**.

11.1.4. **Staffing:**

11.1.4.1. The civil service term "staffing" means the same as the military term "personnel procurement." It marks the beginning of the life-cycle approach to civilian career management. Civil service is an open-entry system allowing an employee to enter at any level from a variety of sources.

11.1.4.2. When filling a new or vacant position, you begin the merit staffing process by sending a Standard Form (SF) 52, **Request for Personnel Action**, along with a PD or CD to the CPF. You and the CPF staff complete a job analysis by determining appropriate knowledges, skills, and abilities needed to perform the duties of the position. After all mandatory placements (such as those required by the DoD Priority Placement Program) have been cleared, the CPF compiles a list of candidates on the basis of merit and qualification. Depending on the situation, the candidates may come from a variety of sources: your unit, other Air Force organizations, civilian Career Program certificates, other Federal agencies, or even the private sector. Once you receive your list of candidates, talk to your CPF about specific interview and selection procedures.

11.1.4.3. Depending upon the circumstances, you may interview the candidates. Some interview requirements may be defined by a locally negotiated agreement with the representative union. In some cases, if you interview one person, you may need to interview all the candidates. If you use an interview as part of the process, you or the CPF will arrange the interviews. The CPF may require a review of the interview questions you plan to ask. You should ask all the candidates approximately the same questions and keep the interview periods of relatively equal length. Once you determine your selection, you must fill out the appropriate documentation so the CPF can process the necessary paperwork. This may include memorandums of nonselection to all candidates you

considered but did not hire. To reduce the amount of time involved in the staffing process, you should contact the CPF as soon as you are aware of a pending or actual vacancy. It is also important to keep your employees' PDs and CDs up-to-date so the hiring process will not be delayed by required revisions. The most important point is to work hand-in-hand with your CPF to ensure you follow established rules and procedures. By doing so, you stand a better chance of hiring the most qualified person for the job and will avoid potentially time-consuming grievances or EEO complaints.

11.1.4.4. Most of the civilian officer-equivalent positions at the GS(general schedule)-12 through -15 grades are covered by centrally managed career programs. When filling any of these jobs, your SF 52 goes through the CPF to the appropriate Air Force Personnel Center's (AFPC) PALACE Team responsible for the career program. This organization will issue you a list of candidates from an Air Force-wide and sometimes Federal-wide applicant pool. In most cases, a candidate cannot be considered for a career program job without first being registered for the particular career program and meeting the specific requirements of that program. Your CPF and the PALACE Teams are available to advise and assist you in this area.

11.1.5. **Training and Development.** It is Air Force policy to provide necessary training to ensure maximum efficiency of civilian employee performance. Supervisors are responsible for systematically determining training requirements and working with the CPF to identify appropriate sources of training. Within funding limits, every employee who requires training will receive an opportunity to participate in training and development without regard to race, color, religion, sex, national origin, age, disability, or other factors unrelated to the need for training.

11.1.5.1. *Identifying Training Requirements:*

11.1.5.1.1. You should request, schedule, and conduct training and development activities only after needs (whether present or future) have been clearly identified and defined. The supervisor determines the need through an intensive analysis between specific skills and knowledge requirements and their relationship to the mission and available human resources. A training-needs survey is conducted annually. This survey provides an opportunity for the supervisor to project training requirements for the next fiscal year. The employee development specialist (EDS) will provide information on available training opportunities. Mission-essential training, however, can be scheduled at any time, and the supervisor need not wait for the training survey. You should contact the EDS for availability of funds.

11.1.5.1.2. The first step in defining training requirements begins with the comparison of the present and future mission requirements versus the current employee skill levels and projected employee turnover rates (retirements, PCS, etc.). Other training needs become evident after a more detailed analysis of individual performance levels against skill or knowledge requirements. Basically, a training need exists when employee skill levels do not match required mission or performance levels. Reorganization, mission changes, new technology, excessive backlogs or waste, bottlenecks in production, or poor work organization are just a few of the many indicators of possible training needs. Inadequate performance, however, is not always a characteristic of knowledge deficiency requiring training. You should always conduct a thorough analysis of the situation before committing Air Force training resources. The civilian career programs administer leadership and managerial training development for covered occupations. They issue a training guide each year to assist in documenting training needs. Your EDS can assist you in this area.

11.1.5.1.3. Although first-line supervisors are the key individuals in determining development needs, a comprehensive analysis cannot be done in isolation. Supervisors may need information from higher level management, other supervisors, or the employees themselves. The servicing EDS is available to assist in training needs analysis and identification of methods and sources of training.

11.1.5.2. *Training Sources.* Once you identify the training needs, the next step is to determine what training sources are available to fulfill the requirement. The three primary sources of training are agency, interagency, and non-Government.

11.1.5.2.1. *Agency.* This training is conducted by the employing agency. Since the agency tailors the training to meet the specific requirements of the organization, many times it is the most effective. This is particularly true with agency on-the-job training (OJT). OJT can be as casual as giving a few pointers to a new worker or as formal as a fully structured training program with timetables and specified subjects of instruction. It can include directing employees to the appropriate publications. Whatever its format, OJT can pay big dividends for the employee and the organization. Another agency method you might consider is in-house training. This type of training is very effective when a large number of employees need instruction on common aspects of occupational skill requirements. To establish civilian training programs of this type, contact the servicing EDS for assistance. More formalized agency classroom training is also available through Air Force formal schools listed in AFCAT 36-2223, *USAF Formal Schools*. These courses are administered through the Training Management System

and include training offered by Air Education and Training Command and the Air Force Institute of Technology. The civilian career programs plan for and sponsor developmental assignments, tuition assistance, formal training, and education to develop current and future managers.

11.1.5.2.2. *Interagency.* When agency sources are not adequate to meet identified training needs, you may have to use interagency sources. Interagency training includes all training sponsored by Government agencies outside the employing agency. The OPM, other Military Services, and the Department of Agriculture are just a few of the many interagency training sources available. The CPF training office has additional information on interagency training sources and curriculum.

11.1.5.2.3. *Non-Government:*

- Federal regulations permit agencies to consider and select Government training sources before turning to non-Government alternatives. However, you can consider non-Government sources when agency or interagency courses cannot satisfy the training need or when non-Government training is more advantageous to the Air Force. Non-Government sources incorporate a wide range of seminars, conferences, courses, and workshops as well as curricula offered by private educational institutions.

- Not all training and development needs can or should be met through Air Force sponsorship. Employees are responsible for independently pursuing training and education that will prepare them for promotion or develop them for career transitions. Such self-development activity is employee initiated and accomplished during off-duty hours. As an Air Force supervisor and manager, you should encourage your civilian employees to participate in these self-development activities.

11.1.6. **Civilian Career Programs:**

11.1.6.1. Managers should also be aware of the various career programs available to civilian employees. The goal of career programs is to hire, develop, advance, and retain high quality civilians for current and future key leadership and management positions. HQ USAF Directorate of Civilian Personnel Policy and Personnel Plans (AF/DPC) and functional managers work together in determining policies for career programs. Air Force Personnel Center, Civilian Career Management Directorate (AFPC/DPK) administers career program activities. From the standpoint of training and development, two significant contributions of career programs to AF mission readiness are utilization of planned civilian career management and force renewal through centralized recruitment and training of mobile

career interns.

11.1.6.2. Most officer-equivalent GS-12 to -15 jobs are covered by 19 career programs. With the participation of functional managers at all levels, the career programs each develop career paths and ladders, develop promotion plans and evaluation criteria, and sponsor education, training, and development opportunities. The functional administrators on the career program PALACE Team serve as points of contact for field employees who have questions regarding career opportunities. Program coverage differs among each functional area, but generally it includes the management of officer-equivalent positions and employees. Your CPF has a quick reference guide available with specific information on these programs.

11.1.7. **Sustainment.** Actually, sustainment is not a phase in the same sense as staffing or training and development. Sustainment is a continuous activity of setting standards, advancing careers, evaluating performance, providing incentives and rewards, maintaining discipline, and managing other day-to-day programs. The essence of sustainment is ensuring employees perform at their peak performance levels; therefore, sustainment strategies address both the tangible and intangible means of motivating them throughout their civil service careers. These programs include a blend of basic compensation, merit promotion, and performance management systems. The various fringe benefits and quality of working life issues such as retirement systems, health and wellness programs, and life and health insurance coverage all affect the civilian work force. If you are well-versed in this area, your job as a manager will be much easier.

11.1.8. **Performance Planning, Appraisals, and Awards.** These subjects have been consolidated into one segment because of their interrelationships. The employee is advised of the major duties and responsibilities of the job and the supervisor's expectations (performance plan), apprised of how well these expectations are met (appraisals), and recognized for exceptional performance (awards), where appropriate.

11.1.8.1. *Performance Planning.* This is a continuous process in which managers and supervisors define performance elements (duties), set performance standards (expectations), and communicate these in writing to the employee.

11.1.8.1.1. *Performance Elements.* Managers and supervisors set the performance elements for the civilian employees they supervise. In developing an employee's performance elements, managers and supervisors determine the major and important requirements of the employee's job. Elements establish the employee's direct contribution to the accomplishment of the organization's or work unit's objectives. Performance elements are

descriptive, and they relate to what needs to be done.

11.1.8.1.2. *Performance Standards.* Managers and supervisors also set the performance standards for the civilian employees they supervise. Performance standards prescribe how a particular element or duty is to be accomplished. Standards must be set at levels necessary for fully successful performance. When possible, supervisors should identify observable behaviors which lead to success on the job.

NOTE: Elements and standards are documented in writing on AF Form 860 unless a CD is used. Core documents will contain both the position description and the performance plan.

11.1.8.2. *Performance Appraisals.* The manager and supervisor review the employee's performance of each element and rate his or her performance against each element's standards. Then an overall summary rating is rendered. AFI 36-1001, *Managing the Civilian Performance Program*, provides guidance for evaluation of civilian employee performance and describes the requirements for new supervisor or manager probationary periods. Appraisals serve as the basis for making personnel decisions to train, reward, assign, promote, retain, and remove employees. The performance appraisal is the basis for a total performance management program to identify and correct work performance problems, recognize and reward quality performance, improve productivity, and grant periodic pay increases.

11.1.8.3. *Awards.* The purpose of the Air Force Recognition Program is to motivate and reward individuals whose superior work performance or other special accomplishments warrant recognition. Performance cash awards are recommended in conjunction with annual performance ratings for GS and Federal Wage System (FWS) employees. A Quality Step Increase may be recommended with the annual rating for GS employees. Special accomplishments which meet the criteria in AFI 36-1001 may be recognized by a Special Act or Service Award or Notable Achievement Award. Honorary recognition for extraordinary accomplishments or valor may also be appropriate. Effective management of the awards program can improve productivity and morale in the organization and serve to motivate employees toward superior performance.

11.1.9. **Employee Conduct and Discipline.** To effectively manage civilian employees, you must know what is expected in terms of their conduct. Furthermore, you must know what to do and what not to do when their conduct violates the established standards. Employees must comply with prescribed standards of conduct in all official matters. They are expected to maintain high job standards, be honest, and possess integrity. These standards must be according to the Code of Ethics for Government Service and are essential for keeping public confidence in the Air Force.

11.1.9.1. *Employee Conduct.* Civilian employees must recognize that public office is a public trust and that they earn this trust by adherence to reasonable standards of conduct. These standards appear in DoD 5500.7-R, *Joint Ethics Regulation (JER)*. For example, civilian employees should discharge financial obligations in a timely manner. They may not canvass, solicit, or peddle among employees at Air Force activities during workhours. They may participate in public or civic activities to support or oppose causes, policies, or programs of the Government if this participation does not interfere with mission accomplishment, bring discredit to the Air Force, or create an actual or apparent conflict of interest with the employee's official duties. Civilian employees must be present for duty, unless authorized to be absent. They must follow directives and comply with orders or instructions. They are obligated to discharge assigned duties effectively and meet performance requirements. They must also comply with reasonable apparel and grooming standards that are derived from consideration for health, safety, and their type of job. A breach of these conduct standards can lead to disciplinary action.

11.1.9.2. *Employee Discipline:*

11.1.9.2.1. The Air Force policy on civilian discipline is to attain and maintain a constructive work environment. If you must take disciplinary or adverse action against a civilian employee, ensure you do so without regard to race, color, religion, sex, national origin, age, disability, or other factors (such as, marital status or politics), except as required by law. Adverse actions, based on an employee's inability to perform because of a physical or mental disability, should only be taken when the employee's disability cannot be reasonably accommodated. You must further ensure the employee receives advance notice of impending actions. Disciplinary or adverse actions must be prompt and equitable, complying with the intent and letter of all governing requirements. Always respect the private nature of adverse and disciplinary actions.

11.1.9.2.2. Note that proper administration of discipline is a chief concern of labor organizations representing Air Force employees. The procedures governing disciplinary and adverse actions are common features of most Air Force labor agreements. Moreover, a basic tenant of Federal labor relations law states an employee, who is a member of a bargaining unit, has a right to union representation, upon the employee's request, during an investigatory interview where the employee reasonably believes disciplinary action may result from the interview.

11.1.9.2.3. Disciplinary action is taken by management to correct an employee's misconduct or performance when the employee can control the essentials of the performance problems, and the employee has the skills, knowledge, and capacity to perform well, but is unwilling to do so. The least severe action is the oral admonishment which is often adequate to affect improvement or correction of work habits or behavior. For significant misconduct or repeated infractions, a written reprimand may be an appropriate penalty. It is a severe disciplinary action and should be adequate for most disciplinary situations that require more action than an oral admonishment. Suspension is a disciplinary action that may be imposed for more serious infractions when the situation indicates that a lesser penalty is not adequate. A suspension is a particularly severe disciplinary action that places the employee in a nonpay and nonduty status.

11.1.9.2.4. Record reprimands in the employee's personnel records for a specified period of time as directed by AFI 36-704, *Discipline and Adverse Actions*, or an applicable negotiated labor-management contract. For employees who fail to respond to oral admonishments, reprimands, or suspensions, removal may be the only alternative. Like all other disciplinary actions, you must ensure it is warranted and well-documented. You must coordinate reprimands, suspensions, and removals with the CPF so that valid disciplinary actions are not jeopardized by a procedural violation or an administrative oversight. Employees have the right to appeal or grieve disciplinary actions they consider unjust by using applicable procedures. You should consult the CPF, as the primary local source of authoritative information, before informing employees of the applicable appeal and/or grievance procedures.

11.1.10. **Equal Employment Opportunity (EEO).** Within recent years, probably no area has received as much emphasis at all levels of Government as EEO. This emphasis was accompanied by many processes to promote the spirit and intent of EEO. Rather than attempting to interpret legislative or administrative rulings applicable to EEO, this information centers on a broad view of the Air Force EEO structure applicable to civilian employees. AFI 36-1201, *Discrimination Complaints*, Equal Employment Opportunity Commission's (EEOC) new directives, and interim Air Force guidance which supplements EEOC directives, provide the basis for this information.

11.1.10.1. *Air Force EEO Structure:*

11.1.10.1.1. *EEO Positions.* At HQ USAF, the Director, Civilian Personnel Policy and Personnel Plans, develops Air Force policy and programs including adaptation of EEOC guidelines on affirmative action plans. However, the Director, Air Force Personnel Operating Agency, Work Force Appeals and Relations Division, is responsible for policy on discrimination complaints. At the HQ USAF level, civilian affirmative employment and EEO policies are coordinated with military personnel officials to ensure a total force approach. At MAJCOM and base levels, the directors of civilian personnel and civilian personnel officers appoint members of their staffs to serve in EEO program positions. MAJCOM responsibilities include ensuring resource availability for EEO programs, training EEO counselors, analyzing affirmative employment plans, and monitoring EEO and affirmative action progress. At base level, the affirmative employment chief coordinates development and implementation of the affirmative action program and affirmative action plan. This individual must also participate in community activities and maintain an awareness of the expectations of minority groups and women.

11.1.10.1.2. *Special Emphasis Program Managers (SEPM).* SEPMs perform a vital role in the planning and implementation of the Affirmative Employment Program (AEP). SEPMs serve as advisors to both management and the work force, operating under the direction and guidance of the AEP chief. These program managers are appointed in the following categories: persons with disabilities program manager, federal women's program manager, Black employment program manager, and Hispanic employment program manager. Where the need is determined, an American Indian/Alaskan Native employment program manager and an Asian American/Pacific Islander employment program manager may be designated.

11.1.10.1.3. *Chief EEO Counselor.* A key individual in the EEO structure is the chief EEO counselor. The chief EEO counselor reports to the commander and performs counseling activities related to complaints of discrimination and complaints processing. The counselor's actions are directed primarily toward the precomplaint phase in an attempt to resolve complaints informally.

11.1.10.1.4. *EEO Advisory Committee.* Every base should have an EEO advisory committee. The committee is responsible for a variety of actions to include reviewing affirmative action progress and evaluating complaint trends. Committee membership includes the installation commander or designee, the civilian personnel officer, supervisors, union representatives, the chief EEO counselor, AEP chief, special emphasis program managers, and employee representatives.

11.1.10.1.5. *Complaint Administration:*

- Although an active EEO program exists, discrimination complaints do occur. Employees who believe they were discriminated against based on

race, color, religion, sex, national origin, age, disability, or retaliation have the right to file a complaint. Employees who are covered by a labor agreement permitting discrimination complaints under its negotiated grievance procedures may file a grievance. They may also file a discrimination complaint under the complaint procedures in AFI 36-1201, but not both. When an employee chooses the latter, the following guidance applies: to preserve the right to file a formal complaint, the complainant must contact an EEO counselor within 45 days of the alleged offense. The EEO counselor will first attempt to solve the matter informally. If the complainant is not satisfied with this action, the complainant may file a formal complaint. The Defense Office of Complaint Investigation (OCI) investigates all formal complaints.

- The OCI investigators issue a report of investigation to the commander who, in turn, gives a copy to the complainant. The complainant can then request a formal hearing by the EEOC, or the complainant will be issued the final Air Force decision. If the EEOC conducts a hearing, it makes a recommendation to the Air Force Deputy for Review Boards, who renders the final Air Force decision. The complainant may appeal the final Air Force decision to the Office of Federal Operations of the EEOC and subsequently file a civil action. Any time the administrative complaint process exceeds 180 days, the complainant has the right to file a civil action. Complainants alleging age (40 and over) discrimination may bypass the administrative process and file directly in court.

11.1.11. Substance Abuse. The Air Force establishes policies and procedures on prevention, reduction, and control of substance abuse among civilian employees, including the rehabilitation of abusers. The objective of the Air Force program is to improve the health, productivity, and quality of the civilian workforce. The performance of every civilian employee must, at all times, support the mission with a high level of productivity, reliability, and judgment. The Air Force performs initial assessment of employees' substance abuse problems and provides evaluation and referral service. The cost of any alcohol or drug treatment program is the employee's responsibility. Civilian employees concerned must acknowledge the problem and seek help or face the consequences. The range of disciplinary action will depend on the specific circumstances of each case. An employee may be removed or an applicant may be denied employment under the substance abuse program.

11.1.12. Compensation, Work Hours, and Leave Administration. Some of the most noticeable differences between Air Force civilian and military personnel exist in the areas of compensation, work hours, and leave administration. The following are some of the major provisions of each area as they apply to the civilian work force:

11.1.12.1. *Compensation:*

11.1.12.1.1. The Federal Employees' Pay Comparability Act of 1990 revised the manner in which white-collar pay (General Schedule [GS]) is determined. The legislation introduced several new pay flexibilities that are available to enhance recruitment and retention of white-collar employees; for example, recruitment and relocation bonuses. In addition, an annual adjustment to pay schedules normally provides general increases to the GS. On 1 January 1994, locality adjustments were added in the CONUS and are based on a survey comparison with non-Federal salaries. In addition to the comparability adjustments, individual employees are eligible for longevity increases, called within-grade increases (WGI) when their performance is fully successful or better, as reflected in their annual performance rating. Great care should be taken to ensure civilian appraisals are objective, substantiated, and realistic.

11.1.12.1.2. Pay rates for FWS employees are adjusted each year based on locality wage surveys conducted by the DoD Wage Setting Division. FWS employees are also eligible for WGIs.

11.1.12.1.3. Civilian employees who are injured or who develop an occupational illness as a result of job-related factors may be eligible for compensatory payments (injury compensation) under the Federal Employees' Compensation Act. Supervisors are responsible for enforcing safety and health regulations. Upon receiving a report of an injury or illness, the supervisor must ensure the employee receives prompt medical care. In addition, the supervisor must complete the supervisory portion of the proper Department of Labor forms and provide the forms to the employee. All injuries and illnesses should be reported promptly to the injury compensation program administrator in the CPF.

11.1.12.2. *Work Hours.* Civilian work hours are more precisely defined and less flexible than those of the military. Civilian work schedules are defined in such terms as administrative work week, basic work week, regular tour of duty, uncommon tour of duty, and part-time tour of duty. Most civilians serve a regular tour of duty. Normally, this is 5, 8-hour days, Monday through Friday. Uncommon tours of duty (40-hour basic work week that includes Saturday and/or Sunday or fewer than 5 days, but not more than 6 days, of the 7-day administrative workweek) are authorized when necessary for efficiency or cost reduction. Special circumstances permit part-time, intermittent, or special tours of duty. Base and tenant commanders establish daily hours for

starting and ending work by a written order, which also must include designated rest and lunch periods. Employees must receive a minimum of 1 week's notice before their tour of duty is changed except as provided under an alternate work schedule or for educational purposes. AFI 36-807, *Weekly and Daily Scheduling of Work and Holiday Observances*, provides guidance on these topics.

11.1.12.3. *Leave Administration.* Civilian leave provisions are more complex than those for military personnel. The amount of annual leave full-time civilian employees receive depends on their length of service. All full-time employees also earn 13 days of sick leave a year. The Air Force pay system charges this leave in 15-minute increments. Keep in mind that labor agreements may specify procedures and conditions for requesting leave and related matters. As a supervisor of civilian employees, you should review a copy of the union contract.

11.1.13. **Summary.** This section presented a broad structural overview of Air Force civilian personnel management. The numerous guidelines and policies presented affect both Air Force civilians and the military manager. From the preceding information, it should be apparent that there are considerable differences between our military and civilian work forces. Your challenge lies in the integration of all members' efforts toward common goals and objectives. This information is not intended to make you an "instant expert" in civilian personnel matters; but, you should be knowledgeable enough to recognize a potential problem situation and to seek the advice of appropriate civilian personnel specialists when warranted. In addition to the various sources that govern civilian personnel matters, collective-bargaining agreements also help establish the terms and conditions of employment. This includes personnel policies, practices, and working conditions of most Air Force civilian employees. These agreements cover about 70 percent of the civilian work force.

11.2. The Labor Union:

11.2.1. **Union Relationship with the Government.** Many Air Force supervisors wonder why they should be concerned with labor unions' and the unions' relationship with the Federal Government. The explanation entails a discussion of past developments in American history involving the relationship between labor and management. Your success as a supervisor of civilian workers may depend on how well you understand union policies and labor relations.

11.2.2. **Makeup of Work Force.** Nearly one-third of the Air Force work force is made up of civilian employees. Because approximately 70 percent of these employees are members of a union's bargaining unit, you, as a

supervisor, must have an insight into the aims and objectives of unions and a thorough understanding of good labor relations. This, in turn, will aid you in effective mission accomplishment.

11.2.3. **Objectives.** As a senior NCO, you will more than likely have the opportunity to work with a union. Before you do, you should understand the objectives of both the union and management. This understanding will help you maintain effective labor relations within your unit.

11.2.3.1. *Management Objectives.* The goals of management are to maintain, preserve, and strengthen its organization. Beyond this, management wants to retain control of the organization and make corporate decisions in its best interests. Additionally, management wants to maintain harmonious relations with the union to promote productivity within the work force.

11.2.3.2. *Union Objectives.* Traditionally, unions seek to strengthen and preserve themselves, while providing for the social and economic needs of their members. Unions often promote broad social and economic reforms. Improved working conditions, safety, and job security are among the primary objectives of unions.

11.2.3.3. *Partnerships.* On October 1, 1993, President Clinton signed one of the most important Executive orders in Federal Service history. Executive Order 12871, Labor Management Partnerships, mandated the establishment of labor-management partnerships throughout the executive branch. This Executive order created partnerships by which management and labor, representing employees, work together as full partners to help reform Government by jointly crafting solutions to identified problems to better serve the agency's customers and mission. This has proven to be a method by which the traditional adversarial roles of union and management has changed to foster an environment of working together for efficient Government operations. Because of the success of partnerships, President Clinton recently signed Executive Order 12974, extending the original Executive Order on Partnerships, and Executive Order 12983, adding the Senior Executive Association and Federal Managers Association as members of the National Partnership Council.

11.2.4. **Key Players.** Now that we have discussed the management and union objectives, let us discuss certain roles of key people involved in our labor relations program.

11.2.4.1. *Commanders.* Commanders have a very active role in the labor relations program, administering it under Air Force direction. They make decisions which affect the labor relations climate, such as selecting management representatives for base-level negotiating teams. Commanders often deal directly with local union officers

in the performance of their duties.

11.2.4.2. *Supervisors.* Even though commanders are ultimately responsible for the Air Force labor relations program, supervisors carry it out in their day-to-day activities. Supervisors help to formulate official policy and represent management in the administration of policy and labor management agreements.

11.2.4.3. *Bargaining Unit Member.* A "bargaining unit member" is an employee who is part of a formally recognized group of employees. This group of employees shares clear and identifiable interests and has elected to organize as a unit. This unit may consist of both union and nonunion employees. Nevertheless, a union representing a unit of employees, by law, is entitled to act for and negotiate collective-bargaining agreements covering all employees within the unit.

11.2.4.4. *Labor Relations Specialist.* Most Air Force bases have labor relations specialists assigned to the CPF. These specialists advise commanders, supervisors, and other members of management on labor relations. Virtually every aspect of labor relations at Air Force bases should be discussed and coordinated with labor relations specialists. They are frequently the spokespersons for management at the bargaining table and the focal point for processing grievances at the local level. Therefore, the labor relations specialist must be well trained in all labor relations matters. Qualities of tact, judgment, and diplomacy are essential for success.

11.2.4.5. *Union Steward.* The steward is an important union leader. Appointed from the ranks, the steward serves as a liaison between union leadership and coworkers. The steward conducts meetings to keep union members informed, distributes local and national office publications, posts union notices on bulletin boards, and relates the progress of negotiations and grievances to the members. The steward often represents individuals who have complaints against management. As a result of these and other related duties, the steward's role may be the single most important factor in making the union strong and efficient.

11.2.5. **The Labor Contract:**

11.2.5.1. *Collective Bargaining.* The labor agreement, commonly called the labor contract, is the result of collective bargaining. Collective bargaining is the negotiation process by which management and union officials come to an agreement. This contract serves as a means of communication between labor and management, and it sets policy for both sides. It also documents the end results of the labor-management negotiations for review by supervisors and union leaders who were not present.

11.2.5.2. *Negotiation.* Management and union officials should develop a clear, concise labor contract because its administration, from negotiations to implementation, often determines the labor relations climate. Broad and vague terms frequently found in labor contracts can lead to further disputes between management and labor. For this reason, neither side should loosely interpret the labor contract, as it represents an agreement reached by both parties during negotiations.

11.2.5.3. *Administration of the Labor Contract.* The responsibility for administering any labor contract falls on the shoulders of management. The administration process begins when management relates the contract terms to the employees. As the first-line supervisor, you are tasked with ensuring working conditions follow the union contract because you deal directly with employees on a day-to-day basis. You should study the labor contract and become familiar with its provisions, particularly those concerning overtime, seniority, grievance procedures, and disciplinary actions. Grievances and complaints should be settled at the lowest level possible; therefore, the initial burden of resolution rests upon you, the supervisor. To adequately prepare yourself, read pertinent Executive orders and regulations and follow them to the letter. If you need additional help, consult your supervisor or the labor relations specialist at the CPF.

11.2.5.4. *Grievances.* Grievances, or complaint procedures, are an important part of the labor contract. The grievance procedure is a method for identifying a complaint by an employee in a simple, clear, and fair way. A grievance may identify an employees' dissatisfaction with areas such as safety, the merit promotion system, and management's compliance with the labor contract or other directives. Federal law requires grievance procedures to be established in labor contracts, allowing employees to bring their complaints to the attention of management. If a civilian employee is not covered by the labor contract, AFI 36-1203, *Administrative Grievance System,* specifies how to file the grievance. When an employee submits a grievance, you should notify your supervisor and the labor relations specialist at the CPF. Follow the specific procedures established either in the labor contract or in AFI 36-1203 to process grievances.

11.2.5.5. *Dispute Resolution.* Dispute resolution or alternative dispute resolution is relatively new in the Air Force. The process involves obtaining the services of a disinterested third party, agreed upon by both parties involved in the dispute, who will assist the parties in reaching a solution. The third party, or mediator, does not decide for the interested parties. He or she merely assists the disputing parties in reaching a mutually agreeable solution, while the parties still have a measure of control over the outcome of the dispute. The Air Force encourages alternative dispute resolution approaches such

as mediation, settlement conferences, or other dispute techniques whenever possible. This process has proven to be more cost effective than litigation, and each of the parties has a stake in the outcome of the dispute.

11.2.5.6. *Arbitration:*

11.2.5.6.1. Arbitration is the final step in the formal negotiated grievance process. Arbitration simply means that both management and labor agree to let an outsider settle the grievance and determine the validity of the action proposed to resolve the problem. Fees and expenses for arbitration are normally borne equally by management and the union, unless otherwise specified by the labor contract. The labor contract provides procedures for submitting grievances to arbitration. Usually, the parties will jointly or individually request the Federal Mediation and Conciliation Service or the appropriate regional office of the American Arbitration Association to provide labor and management with a panel of prospective arbitrators. Panels usually consist of the names and brief biographies of five to seven arbitrators. The collective-bargaining agreement should set forth procedures by which labor and management representatives select an arbitrator to hear the case.

11.2.5.6.2. Most arbitrators attempt to familiarize themselves as much as possible with the dispute before the hearing. The arbitrator conducts the hearing, allowing both parties to call witnesses and to provide evidence to support their positions. After the hearing, the arbitrator must issue a written decision within 30 days, unless the parties provide for a shorter or longer period in their collective-bargaining agreements. Unless either party appeals the decision, it's final and binding.

11.2.6. **Unfair Labor Practices (ULP):**

11.2.6.1. Title VII, Civil Service Reform Act (CSRA), identifies 16 types of ULPs, 8 for management and 8 for unions.

11.2.6.2. Management will not:

- Interfere with, restrain, or coerce employees with respect to union membership.

- Discriminate in conditions of work because of union membership, including hiring, tenure, promotion, and other conditions.

- Sponsor, control, or assist labor organizations except to provide routine services and facilities which are also furnished to other labor organizations on an impartial basis.

- Discriminate (or discipline) because an employee files a complaint or grievance.

- Refuse to bargain in good faith (negotiate).

- Fail or refuse to cooperate in impasse procedures and decisions.

- Enforce rules and regulations dated after the collective-bargaining agreement that are in conflict with that agreement.

- Fail to comply with Title VII, CSRA.

11.2.6.3. Unions will not:

- Interfere with, restrain, or coerce employees with respect to union membership.

- Cause management to discriminate against or coerce employees.

- Discriminate, discipline, or take any action to hinder or impede an employee's work performance.

- Discriminate with regard to, or in terms of, conditions of union membership on the basis of race, color, religion, gender, national origin, age, handicap, marital status, or other similar factors.

- Refuse to bargain in good faith (negotiate).

- Fail to cooperate in impasse procedures and decisions.

- Participate in or fail to take action to prevent a strike, work stoppage, slowdown, or picketing that interferes with an agency's operation.

- Refuse or fail to comply with Title VII, CSRA.

11.2.6.4. The Federal Labor Relations Authority (FLRA) General Counsel investigates any alleged ULP, regardless of whether management or union makes the charge. If the FLRA General Counsel determines that there may be justification for the charge, it will hold a hearing and make a final ruling on the matter. This ruling is binding on all parties unless it is subjected to judicial challenge by any one of the parties.

11.3. **Foreign Nationals:**

11.3.1. An overseas assignment may place you in the position of supervising foreign national employees of the host country. Most of our treaties with host nations

include requirements for employing specified numbers of local nationals. The management of these employees is governed by agreements that should provide a work force that is stable, efficient, and economical, local conditions permitting. Although the specific details of any foreign national agreement will vary by country, it should satisfy the principles listed below.

11.3.1.1. Prevailing practices, local laws, and customs shall be followed in the employment and administration of foreign nationals when the practices, laws, or customs are not in conflict with US law and are compatible with the basic management needs of the US Forces.

11.3.1.2. Foreign nationals shall be employed as extensively as practicable by the US Forces, consistent with any agreement with the host country and DoD dependent-hire policies, to reduce the need to import workers.

11.3.2. Since the employment systems, administrative procedures, and management practices will vary from country to country, you should seek the advice and guidance of your base CPF before taking any action concerning a foreign national employee.

RONALD R. FOGLEMAN, General, USAF
Chief of Staff

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GLOSSARY OF REFERENCES, ABBREVIATIONS, AND ACRONYMS

References

The publications identified in this attachment are the primary references used to develop this study guide. They are provided for readers desiring to conduct additional research in a specific area.

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Abbreviations and Acronyms

AEP	Affirmative Employment Program
AFCCA	Air Force Court of Criminal Appeals
AFCMR	Air Force Court of Military Review
AFEMS	Air Force Equipment Management System
AFPC	Air Force Personnel Center
AFS	Air Force specialty
AFSC	Air Force Specialty Code

Abbreviations and Acronyms

AFSOF	Air Force Special Operations Forces
APR	airman performance report

AS	allowance standards
AWOL	absence without leave
BCE	base civil engineer
BPPBS	Biennial Planning, Programming, and Budgeting System
C2	command and control
CAAF	Court of Appeals for the Armed Forces
CA/CRL	Custodian Authorization/Custody Receipt Listing
CAS	close air support
CC	cost center
CCA	Court of Criminal Appeals
CCAF	Community College of the Air Force
CD	Core Document
CD-ROM	compact disk read only memory
CEM	chief enlisted manager
CFETP	Career Field Education and Training Plan
CIA	Central Intelligence Agency
CINC	commander in chief
CJCS	Chairman of the Joint Chiefs of Staff
CMSAF	Chief Master Sergeant of the Air Force
CMSgt	Chief Master Sergeant
CNO	Chief of Naval Operations
COA	course of action
COG	center of gravity
COMA	Court of Military Appeals
COMR	Court of Military Review
CONUS	continental United States
CPF	civilian personnel flight
CS	Chief of Staff
CSAR	combat search and rescue
CSRA	Civil Service Reform Act
DCA	defensive counterair
DCI	Director of Central Intelligence/defensive counterinformation
DOA	direct obligating authority
DoD	Department of Defense
DPG	Defense Planning Guidance
DRB	Defense Resources Board
DRU	direct reporting unit
DSS	Decision Support Software
EDS	employee development specialist
EEO	equal employment opportunity
EEOC	Equal Employment Opportunity Commission
E-MAIL	Electronic Mail
EMSG	Energy Management Steering Group
EPR	enlisted performance report
FLRA	Federal Labor Relations Authority
FOA	field operating agency
FWS	Federal Wage System
FYDP	Future Years Defense Program
GS	General Schedule
HRB	human resource budget
IW	information warfare
JCS	Joint Chiefs of Staff

Abbreviations and Acronyms

JER	Joint Ethics Regulation
JFACC	Joint Force Air Component Commander
JFC	joint force commander

JSOACE	joint special operations air component commander
JSPS	Joint Strategic Planning System
LAW	Law of War
LOAC	law of armed conflict
LOD	line of duty
LOW	law of war
MAJCOM	major command
MCM	manual for courts-martial
MDZ	Maritime Defense Zone
MIA	missing in action
MKTS	Military Knowledge and Testing Standard
MOOTW	military operations other than war
MOP	memorandum of policy
NCA	National Command Authority
NCO	noncommissioned officer
NSC	National Security Council
OCA	offensive counterair
OCI	Office of Complaint Investigation; offensive counterinformation
OJT	on-the-job training
OPM	Office of Personnel Management
OSD	Office of the Secretary of Defense
OSI	Office of Special Investigations
PCS	Permanent Change of Station
PD	position description
PDM	program decision memorandum
PECD	promotion eligibility cutoff date
PME	professional military education
PMRS	Performance Management and Recognition System
POM	Program Objective Memorandum
POW	prisoner of war
PPBS	Planning, Programming, and Budgeting System
RA	resource advisor
RAP	resource allocation process
RC	responsibility center
RDP	decoration printout
RM	resource manager
RMS	resource management system
RMT	resource management team
ROE	rules of engagement
SECDEF	Secretary of Defense
SEPM	special emphasis program managers
SIOP	Single Integrated Operation Plan
SMSgt	Senior Master Sergeant
SNCO	senior noncommissioned officer
SNCOA	Senior NCO Academy
SOF	special operations force
SSS	staff summary sheet
START	Strategic Arms Reduction Treaty
TA	Table of Allowance
TAFMS	total active federal military service
TDY	temporary duty

Abbreviations and Acronyms

TJAG	The Judge Advocate General
UCMJ	uniform code of military justice
ULP	unfair labor practices
VCJCS	Vice Chairman of the Joint Chiefs of Staff

VCO   vehicle control officer
WAPS   Weighted Airman Promotion System
WGI   within-grade increases